Administration Review

THE JOURNAL OF THE AMERICAN SOCIETY
FOR PUBLIC ADMINISTRATION

Pho

American Society

NO.

Ablic Administration

in the Belance, Processes, and Are of Public Administration

Withouse W. Paracon, President Lacro M. Kuone, Vice President MARE BURGINERS, Secretory Toman

THE COUNCIL

Dalam Bann
Gawa F. Gawa
Raylar A. Galdon
John H. Gawa
Jacob M. Mitteller
Walter W. Monale
Murray R. Mayraan
Murray R. Mayraan

Actor Print
John A. Printing
Estate vill Resource
George A. Lamban
Carl F. Stolen
Charles W. Tenny
William G. Wells
Thereas E. Rieses
The Printing
The Printing

PUBLIC ADMINISTRATION REVIEW

Chairmance C. Mostura, Malestin Chief

ENTORIAL BOARD

Lawrence L. Dunier Leitzt A. Escalant Human B. Galeague John W. Landard

Louis S. Waterest

The County for the Section

A limited by Public Committee Coming Provide A limited by Public Administration (Committee Committee Commi

managed the Society and managers with the first the state of the state

Public Administration Review

THE JOURNAL OF THE AMERICAN SOCIETY FOR PUBLIC ADMINISTRATION

Volume XV WINTER · 1955 Number 1	
Ethics in Government as a Problem in Executive Management . Robert C. Wood	1
Institute of Public Administration, University of the Philippines	8
State Watershed Policy and Administration in Tennessee	17
Managing New York State's Records Vernon B. Santen	21
Central Government Inspection of Local Services in Britain John S. Harris	26
Miami Looks at the Problems of Metropolitan Government Wendell G. Schaeffer	35
Can Government Be Human?	39
The New Federal Incentive Awards Program Henry A. Sawchuk	43
Membership Survey, ASPA	46
Reviews of Books and Documents	
Science and Public Policy	48
A French View of Civil Service Trends	52
"Unable to Bend"	55
Contemporary Topics	50

Published quarterly, in February, May, August, and November, by the American Society for Public Administration, 1313 East 60th Street, Chicago 37, Illinois. Entered as second class matter February 7, 1947, at the post office at Chicago, Illinois, under the Act of March 3, 1897, with additional entry at Brattleboro, Vermont.

The contents of Rublic Administration Review are indexed in Public Africa Vergonia.

The contents of Public Administration Review are indexed in Public Affairs Information Service, International Index to Periodicals, and Index to Legal Periodicals. They are microfilmed by University

Subscriptions: domestic, \$8 a year; foreign, \$3 a year. No discount to agents.

Annual membership dues: sustaining members \$15 or more; members \$8; junior members (those \$8 years of age or under) \$4; student members \$4. Of the amount paid for membership dues, \$4 is allocated to the subscription to Public Administration Review. Address: American Society for Public Administration, 1313 East 60th Street, Chicago 37, Illinois.

Introducing . . .

Mr. PLANNING COMMISSIONER

by

Harold V. Miller, Executive Director Tennessee State Planning Commission



This new book will provide you with valuable information and suggestions, whether you are participating in the local planning effort as a commission member, a public official, or a foresighted citizen.

Mr. Miller, an outstanding authority in the field of planning and development, has written this book in a delightfully clear, practical manner in an attempt to give non-technicians and technicians alike an insight into planning problems.

List Price: \$1.00

We offer you bulk order discounts: 1-9 copies....none 30-99 copies..30% 10-29 copies..20% 100 and over..40%

90 pages, illustrated

Order now from:

Public Administration Service
1313 East 60th St. Chicago 37, Illinois

CONTENTS

Basic Planning Data

Planning Staff

Major Street Plan

Land Subdivision

Schools

Recreation

Utilities

Parking and Traffic

Zoning

Capital Budgeting

Comprehensive Plan

Continuing Program

IN THIS NUMBER

ROBERT C. Wood joined the faculty of Harvard University as assistant professor of government in 1954. He was organization and methods examiner, U.S. Bureau of the Budget, 1951-54, and associate director, Legislative Reference Bureau, State of Florida, 1949-50. He received his Ph.D. degree from Harvard in 1949.

JOHN W. LEDERLE is director, Institute of Public Administration, University of Michigan, from which position he was on leave during 1952-53 to serve as first director and chief adviser for the Philippine Institute of Public Administration. Other experience includes assistant professor and assistant dean, Brown University; general counsel, Michigan Municipal League; consultant to U.S. Senate and House committees on campaign expenditure problems; chairman, Michigan Interstate Cooperation Commission; and controller, State of Michigan, 1954.

Ferrel. Heady is associate professor of political science and assistant director, Institute of Public Administration, University of Michigan. He was on leave during 1953-54 to serve as the second director and chief adviser for the Philippine Institute of Public Administration. Other experience includes administrative assistant to the director of personnel, U.S. Department of Agriculture, 1941-42, and assistant to Commissioner James K. Pollock, Commission on Organization of the Executive Branch of the Government, 1947-49. He is the author of Administrative Procedure Legislation in the States.

LAWRENCE L. DURISCH is a member of the Government Relations and Economics Staff, Tennessee Valley Authority, and has been with the TVA since 1935. He has taught political science at the University of Nebraska, and has been visiting professor at the universities of Alabama, Tennessee, and Illinois. He is coauthor of Upon Its Own Resources.

ROBERT E. LOWRY is a member of the Government Relations and Economics Staff, Tennessee Valley Authority, and has been with the TVA since 1985. He was in military government operations on Okinawa during World War II.

Vernon B. Santen has been responsible for the State Records Management Program for New York State since 1954. He was in charge of the state and local records management programs, 1949-51, and was research technician, New York State Department of Civil Service, 1947-49. Prior to Army service, 1948-47, he held administrative positions with the National Youth Administration in New York State.

JOHN S. HARRIS is assistant professor, Department of Government, Wayne University. He was budget assistant, Virginia Division of the Budget, 1939-41, and has taught at the universities of Cincinnati, Southern California, and Tennessee. He did the research for the article on British central inspection during a sixmonth residence in Great Britain. He received his Ph.D. degree from the University of Chicago in 1951.

Wendell G. Schaeffer, a member of the headquarters staff of Public Administration Service, has had a major part in surveys of local government and metropolitan problems in Kansas City, Missouri; Central America; Puerto Rico; and, more recently, in Miami, Florida. Prior to joining the staff of Public Administration Service in 1949, he was assistant professor of political science at the University of Florida.

EWELL T. BARTLETT has been a member of the staff of the Social Security Administration since the inception of social security in 1935. An attorney by profession, he served on the legal staff, 1935-42. He has been an assistant director, Bureau of Old-Age and Survivors Insurance, in relation to the bureau's adjudication and payment of claims beginning 1942, and is currently in charge of the Division of Claims Policy.

Henry A. Sawchuk is chief, Natural Science, Engineering, and Legal Section, Standards Division, U.S. Civil Service Commission. He has been with the commission since 1939, serving in various capacities, including chief, Skilled Trades and Engineering Unit, Examining Division, and chief of the section responsible for organizing boards of U.S. civil service examiners in the Washington, D. C., area. In 1952 he headed a committee which reported on a study of awards and incentives programs with particular reference to inventors.

ELTING E. MORISON has been professor of history, Massachusetts Institute of Technology, since 1946. He was a consultant to the Research and Development Board, 1947-51. He is the author of Admiral Sims and the Modern American Navy, 1942, and the editor of The Letters of Theodore Roosevelt, 8 volumes, 1951-54.

WALTER R. SHARP is professor of political science and director of graduate studies in international relations, Yale University. He is at present on leave to serve as codirector, Institute of Public Administration, Cairo, Egypt, under the auspices of the United Nations Technical Assistance Administration. He was a senior member of the secretariats of FAO, WHO, and UNESCO, 1943-50.

THOMAS S. FRANCIS is engaged in research on a series of documentary films on politics for MPO Productions, New York City. He was research assistant to the Honorable Jacob K. Javits during his successful campaign for Attorney General of New York State in the autumn, 1954. Other experience includes teaching at Pennsylvania State College, 1947-49; research assistant, Commission on Financing Higher Education, 1950-51; and consultant, Implementation Committee on Television, sponsored by The Ford Foundation, 1953.

ASPA Conference

March 18-20, 1955—Friday through Sunday

Hotel New Yorker, New York, N. Y.

Public Administration Review is intended to promote the exchange of ideas among public officials and students of administration. The various views of public policy and public administration expressed herein are the private opinions of the authors; they do not necessarily reflect the official views of the agencies for which they work or the opinions of the editors of this journal.

Ethics in Government as a Problem in Executive Management

By ROBERT C. WOOD

Assistant Professor of Government Harvard University

7

HENEVER a public official goes astray, a large audience runs at his heels. Disclosures of misconduct and corruption fascinate both the general public and the professional student of government. No matter how frequently instances of misbehavior occur, each generates its own outburst of popular indignation and spate of expert commentary designed to prevent future wrongdoing.

The public outcry is likely to have immediate and decisive political effect. The Internal Revenue Service and Reconstruction Finance Corporation scandals, the mink coats, deep freezes, and five percenters, for example, set off a chain reaction which according to George H. Gallup conclusively determined the 1952 elections.1 Charges of corruption reportedly figured decisively in the 1953 New Jersey gubernatorial campaign.2 The recent housing scandals resulted in a shake-up extending to the far corners of the Federal Housing Administration; they appear to have contributed directly to a congressional reorganization of the parent Housing and Home Finance Agency as well.3

The effect of scholarly analyses and prescriptions is less certain. Repetitiously, the revelations produce a bundle of literature, ranging from Sunday supplements to learned journals, devoted to suggesting reforms to eliminate misbehavior in government. Yet few of these recommendations have been officially adopted or,

to judge from the record, even seriously considered.

Possibly one reason for the unenthusiastic reception given these proposals is their truly radical nature. Most of the suggestions for reform would involve major changes in our established customs or our governmental processes. The extreme ones rest on the proposition that public and private ethics are inseparably intertwined. Accordingly, some witnesses appearing before the Senate Subcommittee on Ethics in 1951 foresaw little improvement in government behavior until all our morals are uplifted. They proposed solving the old problem of the double standard applied to political ethics and community ethics by somehow raising all behavior to the ideal theoretically demanded of the public service.4 In their opinion society, not bureaucracy, was to blame for official wrongdoing.

Others advance a more restricted version of the "up by the bootstraps" solution. They are content to purify bureaucracy and leave the rest of the community to fend for itself. Thus the Douglas Subcommittee itself gave only passing reference to legislative, judicial, and popular ethics, and emphasized the development of special standards for the public service. The committee proposed to backstop its ethical pronouncements by classifying govern-

¹The post-election poll of the American Institute of Public Opinion, dated January 20, 1955, as reported in *The Washington Post*, Jan. 21, 1953.

^{*} The New York Times, Nov. 5, 1953.

^a The Washington Post and Times-Herald, July 20,

⁴ Establishment of a Commission on Ethics in Government. Hearings before a Subcommittee to Study Senate Concurrent Resolution 21 of the Committee on Labor and Public Welfare, United States Senate, 82d Cong., 1st sess., June 19-July 11, 1951 (U. 8. Government Printing Office, 1951), pp. 577.

⁸ Ethical Standards in Government. Report of a Subcommittee of the Committee on Labor and Public Welfare, United States Senate (U. S. Government Printing Office, 1951), pp. 89.

ment agencies according to their proclivity to misbehave and by tightening administrative regulations and statutory prohibitions accordingly. But it placed major reliance on the creation of a commission of ethics to promulgate and monitor rules of behavior applicable almost exclusively to administrative officials.

Two other schools of reform take a more pragmatic approach. The politically oriented argue, with the late Senator Tobey, that corruption is the inevitable result of one-party rule for too long a time. Essentially, they accept Lord Acton's analysis of the corrupting effects of power and believe that only if Democrats and Republicans succeed each other at fairly regular intervals can we expect honest administration of our public affairs.

The second so-called practical approach derives from public administration circles and would substitute a corrective secular trend for a purifying cycle of party competition. The burden of this analysis, as set forth by authorities like Keith Callard, is that corruption of public personnel in the United States is a byproduct of existing procedures for their selection and employment. In their view, the elimination of irregularities depends upon professionalization of the bureaucracy.6 Their ideal is usually the British civil service; their means are the development of a responsible administrative class, loyal to its fellows and its craft. This "professionalization" can be accelerated by all sorts of incentives and special dispensations-honors, medals, bonuses, and awardsto make the career man feel secure and proud, but until "some degree of professional autonomy" is allowed, little advance in ethics can be expected.⁷
Without commenting on the relative merits

or feasibilities of these programs, or disparaging them in any way, one common characteristic should be noted: they are all long-run solutions. We are not going to improve either community or bureaucratic ethics overnight; nor are we, by current indications, progressing very rapidly in the development of the career civil service. Even the political solution must rely on sporadic house cleanings, for neither party has demonstrated a monopoly on virtue. If these are the only weapons in our armory, we shall have to resign ourselves to a number of years of repeated scandals until we progress painfully into our administrative Utopia or, what is more likely, and impracticable, accept the philosophy of the moral cynic. Even if we grant the soundness of any or all of these suggested reforms, we need to take some steps to deal with the immediate situation and the immediate public agitation.

II

O^{NE} thing which might be done, to use an old-saw phrase, is "to return to the Constitution," in the sense that it sets guidelines for administrative procedures. Article II, Section 3, provides that the President "take care that the laws be faithfully executed," and most state Constitutions vest similar responsibility in the office of the Governor. Early constitutional interpretations, at least so far as the federal government is concerned, defined this responsibility principally in terms of the establishment and maintenance of proper standards of personnel conduct.8 Over the years, the federal provision and its counterparts in other levels of government and for other public executives have lost a good part of their original meaning. Today faithful execution seems to imply primarily notions of scientific managerial control, special staff facilities, and professional recruit-

1 Callard, op. cit., p. 156.

^{*}Keith Callard, "On the Ethics of Civil Servants in Great Britain and North America," in C. J. Friedrich and J. K. Galbraith, eds., Public Policy, A Yearbook of the Graduate School of Public Administration, Harvard University, 1953 (Graduate School of Public Administration, 1953), pp. 134-56. Callard is among the most forthright of those who advocate this sort of solution. In my judgment, the following accept substantial portions of the philosophy: Paul H. Appleby, Morality and Administration in Democratic Government (Louisiana State University Press, 1952), pp. 261; George A. Graham, Morality in American Politics (Random House, 1952), pp. 537; a number of the authors of articles in the March, 1952, issue of The Annals of the American Academy of Political and Social Science, titled "Ethical Standards in American Public Life"; and, to a lesser extent, Herbert Emmerich, "A Scandal in Utopia," 12 Public Administration Review 1-9 (Winter, 195a).

^{*}Edward S. Corwin, The President; Office and Powers, 1787-1948 (New York University Press, 1948), ch. III. Specific reference is made on pp. 98 and 101 to the opinion of Attorney General Wirt, in 1823, and the judgment of the lower courts in Kendall v. U. S.

ment and training techniques. For most public administrators the emphasis has become "expert management" or "competent management." Efficiency and economy have tended to supplant the early definition of faithful execution, and to bury it under the managerial paraphernalia of the twentieth century.

An initial attack on the problem of corruption might well begin with the resurrection of the old principle that public officials have the duty to make sure their employees are honest as well as efficient and competent. It seems time to recall that public irregularities are by and large administrative phenomena, and that corruption is a proper subject for organizational and managerial analysis in the limited sense of those words. Administrators, under the law and in the view of the public, must assure the integrity of their subordinates. In common reason, they should have the means to discharge this responsibility.

What kind of procedures and arrangements do administrators need if the faithful execution of the laws is to retain its normative flavor? Obviously, all or most of the control devices installed during the last fifty years are helpful. Published rules and regulations for personal conduct, augmented by sensible inservice training programs, educate and inform public officials and often enable them to dispose courteously of otherwise embarrassing situations. They help to take the pressure off employees in agencies where awards, decisions, and procurement and loan activities increase opportunities for misconduct. Similarly, careful recruitment procedures screen out undesirables and improve the caliber of personnel. Internal audits verify financial transactions and fix individual accountability. The budget process, program inspections, management surveys, reporting, and review systems frequently result in detecting patterns of systematic deficiencies and are useful in evaluating individual performance. A tight hierarchy within a public agency, in which the top official appoints his subordinates directly and delegates functions explicitly and precisely, increases the surety against wrongdoing.

Just as obviously, however, neither in practice nor in logic are these staff arrangements and internal procedures sufficient. Rules of behavior are not self-enforcing; the most comprehensive audit system cannot detect irregularities not evident in financial records. Budget reviews and inspection and reporting systems tend to become routine and cursory. And in any event they will not uncover instances of outside collusion, and should not be expected to, since they have been designed primarily for other objectives. Their effectiveness in reducing misconduct and promoting honesty is strictly a by-product of their major purposes.

What the government executive really needs to assure the integrity of his personnel are devices especially established for that purpose. He needs arrangements which are expertly designed to enable him to discharge this portion of his executive responsibility. He needs them; so do his employees, if their reputations are to be protected against malicious informers and idle gossips; and so does the public if it is to have confidence in the public service. Such arrangements exist, but they are neither generally recognized nor apparently very respectable in the literature of pubic administration. They are, quite simply, the systematic employment of administrative investigatory facilities.

III

Investigatory facilities are bad words in this country. It is important, however, to know exactly what they are and what they are not, and what they do and do not do, when properly constituted, before judging their utility.

Essentially, administrative investigatory facilities are staff devices that provide an executive with information about the personal conduct of his employees. They are control units that take their place alongside other staff units, with the specific function of reporting to the executive, protecting him against the derelictions of his subordinates, and assuring the compliance of personnel with applicable law, administrative regulations, and generally accepted ethical standards. They have the further function of safeguarding the reputation of employees by enabling administrators to determine quickly and conclusively the validity of allegations and exposing unfounded derogations. By their very existence, they help sustain the good name of the agency.

The point of departure for an effective investigatory program is the establishment of sensible and reasonably specific rules of conduct for the agency.9 Although in most instances agency heads can depend on their subordinates to exercise common sense and normal discretion, comprehensive and intelligible rules of conduct highlight the sensitive areas in public programs and offer an effective way for the front office to "set the tone," in Herbert Emmerich's words, "of any administration." They provide a clear, written standard to instruct the unthinking or careless employee and to provide an equitable basis for taking disciplinary action where necessary. While the development of these rules is sometimes scorned as the embodiment of administrative puritanism, they enable the executive to say explicitly what conduct he expects from his staff in the grey area where temptations are likely to be strong. As a minimum, rules of conduct should offer guides to the types of outside employment that are acceptable and to the point at which the proper play of social amenities leaves off and the improper acceptance of gratuities begins. Each public agency needs to prepare its own rules, for each has its particular problems of ethics.

Given these ground rules, by far the most important task of an investigatory facility, and the one consuming the bulk of its staff time, is following up on complaints that the administrator receives from the public or his own employees. Almost every administrator has a flow of accusations, rumors, and bits of gossip across his desk in the course of his day-to-day work. When he lacks a competent investigatory staff, he must ignore these complaints, try to evaluate them without first-hand knowledge, place them in the hands of assistants who are at most intelligent amateurs, or turn them over to a law-enforcement agency. Under any of these procedures, he fails to carry out his executive

responsibility.

A secondary service is the review of particularly sensitive activities within the agency on the investigatory unit's own initiative. From such periodic checks, the unit can assist in the development of preventive procedures and work systems which speed the detection of misconduct. In company with management and A few examples drawn from federal experience may indicate more clearly the general usefulness of these facilities at all levels of United States government. In perhaps the most celebrated of the recent scandals, those involving the Bureau of Internal Revenue, the bribery and collusion disclosed by congressional investigations were precisely of a nature with which a properly functioning investigatory unit is equipped to deal. As the King Subcommittee observed:

One pattern of evidence runs through all the corruption cases. . . . A revenue officer who derives profit from abuse of his office always ends up with an embarrassing surplus of money for which he cannot account. Either he spends it on a scale of living inexplicable for one in his income bracket, or he accumulates property resulting in an unaccountable growth in net worth. To conceal his misconduct he usually omits the illicit income from his personal income tax return, thus becoming a tax evader. 10

The subcommittee conducted its inquiry by the simple expedients of following tips, making net worth investigations, and auditing employees' tax returns, with highly effective results. Yet, during the period in which the corruption was most widespread, the bureau's own self-policing program had failed to show any substantial record of accomplishment. Its failure, according to the Subcommittee Re-

budgetary personnel, the investigatory staff effect better executive control. A properly established facility will usually initiate all personnel investigations within an organization, except such special-purpose investigations as security checks in the federal government, and will complete those within the range of administrative sanction. Where criminal violations are detected, law-enforcement agencies are usually called in to complete the case. The administrative unit participates, however, to the degree necessary to protect its chief, and by reporting directly only to him it makes sure that he controls the investigation to the limit of his discretion.

^{*}For an analysis of the utility of rules of conduct, see Phillip Monypeuny, "A Code of Ethics as a Means of Controlling Administrative Conduct," 13 Public Administration Review 184.7 (Summer, 1953).

²⁶ Internal Revenue Investigation. Report to the Committee on Ways and Means, House of Representatives, by the Subcommittee on Administration of the Internal Revenue Laws (U. 8. Government Printing Office, 1952), p. 5.

port, stemmed from the improper organization and functioning of the investigatory program.

Until 1951, ninety-five inspectors, known as Supervisors of Accounts and Collections, were charged with the responsibility of checking the efficiency and honesty of some thirty-one-thousand Bureau employees located in offices of Collectors. These Supervisors were instructed to accomplish their purposes by persuasion. They were not authorized to change operating procedures. Indeed, on many occasions Supervisors were threatened with reprisals where they offended the politically appointed Collectors of Internal Revenue whose conduct in office they were supposed to supervisor. Reports and recommendations from Supervisors regarding the conditions in certain Collectors' offices had for years, been buried in Bureau files unheeded.¹¹

Not until October, 1951, when the bureau established an independent Inspection Service, was the basis laid for developing an effective self-policing system. The President's Reorganization Plan No. 1 of 1952 completed the job by creating an Office of Assistant Commissioner for Inspection with direct access to the commissioner. The assistant commissioner now has full responsibility for assuring that employees adhere to proper standards of conduct, that irregularities are detected, and that personnel investigations are speedily conducted independent of the organizational unit involved. 12

If the remedy provided for the Bureau of Internal Revenue had been adopted throughout the executive branch, the federal government might have been spared some serious headaches. The disclosures in early 1954 in the Federal Housing Authority revealed once again the sort of irregularities which an investigatory unit is tailor-made to uncover. One of the most striking illustrations, developed in Senate hearings, was the testimony that an official whose record was alleged to include embezzlement, larcenies, and bogus checks, twice reported by the Federal Bureau of Investigation, had served for years and that neither report could even be found in the agency's files. 18 In this case, the absence of systematic procedures within the agency to receive and evaluate outside information and to alert the agency head to irregularities—essential functions of an administrative investigatory unit—appears to have negated the early work of the FBI.

The Hoey Subcommittee's investigations of influence in government procurement, popularly known as influence peddling and five percenters, involved as much, if not more, the victimizing of businessmen by persons outside the government as improper conduct on the part of public officials. Where improper activities were carried on by federal employees, in many instances the persons involved appeared to be at the top of the agencies. But as in the case of the American Lithofold Corporation and the RFC, the names of Internal Revenue agents and employees of the RFC, the Air Force, and the Department of Labor cropped up repeatedly in congressional reports in connection with outside employment and activities which seemed questionable.14 Even in this difficult twilight zone where criminality may not be an issue but impropriety is, the existence of effective arrangements to detect and report the conduct of the employees involved to the agency head would have served to correct a deteriorating situation before agency and personal reputations were blackened.

IV

IF THE cases just cited demonstrate the services which investigatory staffs can properly perform, some comments are in order on the activities from which these staffs should be barred and the limits to their effectiveness.

Investigatory facilities need not and should not be conceived as an underground administrative octopus with informers in every unit of a public agency, holding every employee under close surveillance and reviewing every action within the establishment. Members of investigatory staffs should never be responsible for evaluating the results of their investigations or determining sanctions. In the context used here, such staffs are not substitutes for law-enforcement agencies responsible for the prevention and detection of criminal acts outside

¹³ Ibid., p. 6.

¹³ Reorganization Plan No. 1 of 1952 (H. Doc. 327, 82d Cong., 2d sess.).

n The Washington Post and Times-Herald, July 20,

Mamerican Lithofold Corp., William M. Boyle, Jr., Guy George Gabrielson. Interim Report of Committee on Expenditures in Executive Departments Made by Its Senate Permanent Subcommittee on Investigations, Pursuant to S. Res. 156 (U. S. Government Printing Office, 1952), pp. 11-18.

or within their governments or for security programs. Their concern is with the strictly defined administrative irregularities which if unchecked breed criminal activities; their techniques are those of recognized detective work—interrogation, the examination of accounts, and occasional surveillance. Their approach is not all encompassing but rather selective and specialized, designed to avoid the blunderbuss efforts of amateurs working under pressure.

Investigatory facilities are not effective in all situations and against all types of wrong-doing. For example, they are not useful in monitoring important regulatory activities involving discretionary judgment, and they are likely to be excessively expensive when employed in the highly repetitive routine cases of benefit programs. But they do work well in the areas where most irregularities have occurred recently: in cases involving impropriety between agency employees and agency clientele, in enforcement activities, and in procurement, lending, and property administration.

Finally, no centralized system of investigatory facilities, authorized to operate throughout the entire executive branch of a government, should be established. These facilities belong properly to the operating agency heads, the responsible administrators, not to a single police chief. To be acceptable, investigatory facilities should be agency staff units with limited responsibility. No uniform pattern for these units should be applied throughout a government, since staff qualifications and working methods vary according to the size and type of activities of an agency. Some agencies need a small unit reporting directly to the top executive; others need units at the lower echelons as well. But properly established and supervised investigatory facilities provide a sensible, reasonable arrangement for protecting the public service and the public from the wrongdoing of a few.

V

The failure of administrative doctrine to consider the value of investigatory staffs probably stems from the instinctive distaste most Americans have for such institutions. We like to believe our associates are honest; and we generally dislike and distrust the policeman and the informer. The history of our investiga-

tory and law-enforcement agencies, especially on the state and local levels, is not always reassuring and abuses of authority are not unknown. The liberal dose of violence and of vigilance committees in our tradition operates to discourage reliance on investigatory organizations.

However wholesale the motives for scholarly neglect may be, the results seem unfortunate. While a few organizations, such as New York City's Department of Investigation and the inspection service of the United States Post Office Department, have records of substantial accomplishment, many public agencies in which improprieties frequently come to light have no investigatory staffs at all-to the detriment of their reputations and programs.15 Others maintain poorly functioning, incompetent organizations, manned by amateurs and frequently doing more harm than good. Generally speaking, very few attempts have been made in our governments to determine the specific agencies in which these units are needed. where they should be located in the administrative hierarchy, and how they should be supervised.16

The consequences of this situation unhappily go beyond persistent and overt recurrences of wrongdoing and failure to prevent and detect irregularities before they become widespread. If we fail to establish small, effective,

¹⁸ Although the suggestions for investigatory facilities considered in this article are as applicable to state and local governments as to the federal government, few competent studies of their operations and potentialities at these levels seem to exist. An outstanding exception is Harold Seidman, *Investigating Municipal Administration* (Institute of Public Administration, Columbia University, 1941), pp. 215, which traces the history of New York City's Department of Investigation in detail and provocatively explores the general utility of administrative investigatory facilities.

MAccording to reports appearing in The Washington Star on Sept. 30 and Oct. 1, 1954, and subsequent dates, The New York Times, Sept. 30, 1954, and elsewhere, the federal government has undertaken a review of existing procedures and arrangements within executive departments and agencies designed to detect and prevent acts of impropriety, unethical conduct, and other activities short of criminal violations. On the basis of these newspaper reports, it would appear that the new program incorporates many of the principles discussed in this article. It also seems evident from the editorial comment accompanying the press reports that many of the criticisms there advanced against the program are similar to those considered here.

and responsible investigatory units, less palatable solutions, fundamentally foreign to American institutions and customs, are likely to be pressed upon us. If chief executives are not equipped with the means effectively to discharge their responsibilities, there are others willing and eager to assume them. There are proposals at all levels of government to vest complete authority for the detection of all types of misconduct in central law-enforcement agencies. Such arrangements have strong similarities to the "police state" which critics of administrative investigatory facilities seek to avoid.

Alternatively, legislative bodies, aware of the political capital to be gained in catching the crooks, sometimes show more enthusiasm than competence in "helping" administrators go about their executive duties. Where no arrangements exist within the executive branches of our governments, legislative committees are encouraged to go beyond the scope of their established investigatory responsibilities and engage in gossip-mongering, with the objective of headlines rather than fact-finding for the purpose of law-making. Exaggeration, misrepresentation, individual injustices, and political backbiting are not the only results of this practice. More fundamentally, the independence of the chief executive is undermined under circumstances in which it is almost impossible for him to defend himself, for the crooks, often as not, are found to exist.

Nor should we be dissuaded from working to increase the number of properly functioning investigatory facilities because they are sometimes described as "gumshoe." Such disdain is even less justifiable than distrust and fear. Behind the title and the emotion is the general argument that investigators are likely to be inefficient or incompetent. It is alleged that they are frequently the sources of as much corruption as they detect or, and this is worse, that they actually lower the morale and ethical standards of other personnel.

This reasoning is contrary to fact. Investigators, like other personnel, can be trained for useful and rewarding careers. More appropriate qualifications have to be established, it is true, and civil service boards need to make provisions for proper standards and training. Recent experience with special police forces shows conclusively that these objectives can be at-

tained. This experience also shows that corruption within investigatory units can be effectively handled-the techniques for "investigating the investigators" are well established. Public administrators, by study and application, have provided regularized means for moving from patronage systems to professional personnel administration and for making budgetary and purchasing operations positive benefits rather than dictatorial techniques. They can also develop satisfactory investigatory units.

No one familiar with the operations of investigatory facilities supposes that they are the complete answer to the problem of public corruption. When compared with the more revolutionary proposals to reform our society, our politics, and our administrative profession, the proposal for the wider use of such facilities is modest and unheroic. Yet there seems to be more danger of underestimating the utility of competent staff organizations of this nature than of developing them to excess. Even after all their potential misuses are explored, it is difficult to justify their almost studied neglect in the literature of public administration. Once the layers of misinformation and unfounded apprehension are peeled off, they appear as invaluable staff adjuncts to the practicing administrator. A public official who does not provide himself with a "personal eye" when he can runs the risk of damage to his own career; he is also derelict in his duty, for the proposition that public office is a public trust-old as it is-remains the first charge of a responsible government servant.

The great advantage of a proposal to accelerate the use of these facilities is that it can be immediately adopted and with immediate effect. While we wait for better men and better communities, we should try to catch the dishonest among us. While we work for the professionalization of the entire bureaucracy, we should perfect at once critical staff units within our public agencies. Certainly, persistent revelations of corruption damage the development of American public administration too severely to allow us to be dilatory or complacent. When so much dynamite is involved for the political leader loyal to his party and the bureaucrat proud of his trade, even a holding action is

worth while.

Institute of Public Administration, University of the Philippines

By JOHN W. LEDERLE and FERREL HEADY

Institute of Public Administration, University of Michigan Directors, 1952-53 and 1953-54, Institute of Public Administration, University of the Philippines

NOTH the United Nations and the United States technical assistance programs are giving increasing attention to the establishment of training and research centers in public administration. In sponsoring these centers, such as the new Institute of Public Administration in the Philippines, those concerned with project priorities should be commended for supporting some projects with broad, long-term educational objectives rather than only those having immediate impact. American foreign aid administrators, responsible to a Congress restive for early dividends, have not always been so sympathetic toward the idea of establishing public administration

centers as at present.

The public administration center at the University of the Philippines, being established with the technical cooperation of the University of Michigan and with financial support of the United States and Philippine governments, must perhaps be justified on faith at this point. Because of its long-term potential rather than prospective short-run returns, the new Institute of Public Administration in Manila is a challenging experiment in technical cooperation. Established less than three years ago, it no doubt is too early to appraise and evaluate the institute's success. Nevertheless, there is evidence that out of the many-sided activities of the institute the United States has already received a substantial return on its financial contribution. There is every reason to believe that the institute's momentum will continue undiminished for some time to come. If the hopes of those who planned and organized it are borne out, the momentum will not merely continue, but will increase.

Since similar institutes have been or are being established in other countries, this article may be one of a prospective series of case studies. Given a literature dealing with the problems and programs of a number of such institutes, we may ultimately be in a position to generalize beyond the level of country illus-

Establishment of an institute of public administration in the Philippines was a natural response to a felt need. Many Filipino public administrators had been discussing this need in the late 1940's, and at least one draft memorandum on the subject had been circulating at the Cabinet level. The new republic had embarked upon its independent course after the war with most of the administrative equipage customary in a Western democracy. For example, civil service, an executive budget, and national economic planning were part of the governmental apparatus. However, a sophisticated observer could quickly see that in the Philippine environment, the apparatus was more a matter of form than of reality. Since there was no demand for abandonment, reeducation in its use seemed desirable. At the same time, recognizing the sad decline in the morale and integrity of the public service during the period of Japanese occupation, some Filipinos supported the institute idea because they felt it could promote improved ethics in the public service. While the organizers of the institute had distinct reservations about being able to satisfy all of these expectations, the widespread desire for such a public administration center boded well for its success.

With the signing of the bilateral agreement between the United States and Philippine governments whereby the Economic Corporation Administration program was extended to the Philippines, money became available with which to finance an institute of public administration project. It was decided to establish the training center at the University of the Philippines under a private contract between that university and the University of Michigan. The contract was for a two and one-half year period beginning June 15, 1952, and has since been extended eighteen months, to June 15, 1956. The United States government provided a substantial dollar contribution through the Mutual Security Agency (successor to ECA), while the Philippine government covered the local peso cost out of counterpart funds through the Philippine Council for United States Aid. Under the contract the initial personnel were supplied by the University of Michigan with the University of the Philip-

pines gradually taking over. The private contract form for the arrangement was chosen to secure the advantages of flexibility and "freedom from government red tape," as well as to avoid the appearance of American governmental intervention. These objectives were achieved only to a limited degree. In practice, the contracting universities often felt themselves so tied down by reporting and clearance procedures, and consequently ran into American and Philippine government bottlenecks so frustrating, that they wondered whether the term "private contract" was a misnomer. Instead of a relatively simple contractual arrangement between two universities, two additional parties-the Mutual Security Agency and the Philippine Council for United States Aid-were constantly in the act. Added to this was the factor of distance, always present in foreign aid operations. It was discovered on numerous issues that Uncle Sam had two minds-one in Washington and one at the foreign aid mission in Manila-and reconcilement of differences was not a matter of weeks but of months. Finally, it was discovered that there were those in the United States government service who were so politically "sensitive" as to be unable to clear even the seemingly uncontroversial matters. An election in the United States in 1952 had a disrupting influence on institute development, and later on the Philippine election of 1953 had a similar effect. All of this is to say that the form of a simple private contract does not make simple the task of establishing an institute of public administration, at least where the governments of the two countries are in the background and providing finances.

In discussing the program and problems of the Institute of Public Administration, it seems appropriate to deal first with the library and associated library services; second, with the educational program; third, with the research and consultation service activities; and finally, with the long-range prospects of the institute as a center for public administration research and training for the Philippines and Southeast Asia.

1

GOOD library of public administration ma-A terials is the indispensable foundation for a sound educational and research program in public administration. In their initial report, the University of Michigan representatives stressed the crucial importance of assembling a special library of some ten thousand volumes and some twenty to thirty filing cases of vertical file materials around which the teaching, research, and service activities could revolve. This need had been aggravated in the Philippines because war destruction had practically denuded government departmental libraries and the national library, as well as the University of the Philippines library. Furthermore, the great cost of books and the long delays in their transportation and customs clearance have forced Filipino students to rely more on borrowing from the library than upon personal ownership of books.

The University of Michigan undertook, by a special library contract, to select and deliver to Manila a first-rate collection of public administration books, documents, and ephemeral materials. Time being of the essence, a feature of the procurement arrangement was that the books were to be already cataloged on arrival. Accompanied by library cards, with library identification letters and numbers already assigned, the books thus became available to library patrons the day they arrived in Manila.

The library procurement contract worked very satisfactorily on the whole. There were, of course, initial problems of arranging for ad-

vance inspection by the United States General Services Administration and of securing approval of parcel post mail rather than freight transportation. Our first shipment of high priority books was by freight. We thought it had been lost, but it finally arrived six months after leaving Ann Arbor. Only four to five weeks were needed for parcel post shipments, which also seemed to avoid all the forwarding and handling charges associated with export and import of goods by freight across customs barriers. What at first seemed a serious problem of lost identification labels, which had been glued on book bindings, resolved itself amid laughter when it was discovered that the mammoth tropical cockroaches loved the Ann Arbor glue used for attaching the labels. A shift from glued labels to library call numbers stenciled directly on the book bindings solved this prob-

A more serious problem was the establishing of an "open-shelf" policy for library patrons in the face of the strong Filipino tradition of locked cases and protective custody. Philippine law makes the librarian legally responsible for the loss of any book or other item in the library. A new librarian is supposed to sign a detailed receipt for the collection and is not relieved of personal liability until his successor signs a similar receipt. Naturally, impecunious librarians become overly protective by American standards, keeping books under lock and key or banning open-shelf examination by the public. Not that these policies have prevented pilfering of books; indeed, the policies were based on such a low estimate of public morals as perhaps to whet interest in devising schemes for stealing books.

Open-shelf operation of the institute collection was scoffed at by many Filipino librarians. Admitting that such a policy might be fine for the United States, they told us again and again that in the Philippines the books would quickly disappear. We remained adamant in our opposition to the protective tradition, stressing that the American gift of the library was with the intention of making it of maximum use. We insisted on free access, on the opportunity for patrons to get beyond the card catalog to the stacks so as actually to see, feel, browse through, yes, even smell the wonderful new books. That is literally what the library

patrons have done, relishing to the full this departure from library tradition. To our knowledge, at the end of two years and a half of operation not a single book had been stolen.

Such success in avoiding loss while departing from tradition was at least in part due to a direct educational program on library use. New academic students and new in-service training course students were always specially invited to look over the library and were introduced to the library staff. The library was extolled as potentially the outstanding one of its type in the Far East. Attention was called to its "service" aim, to the reasoning behind the departure from the protective tradition. We commented on the doubts expressed by many knowledgeable Filipinos about our experiment, and said that we were gambling that the students would accept the challenge of the experiment and respect the trust. If our leadership should prove out, other Philippine libraries might follow our example.

Periodically the students were invited to general meetings at which policies on overnight and week-end loans, library hours, and the many details of library administration could be discussed. We were teaching "democratic administration" in our courses; we were practicing it in our library operation. While the battle has not been finally won and the possibility of retrogression is always present after the strong American library influence ceases, our experiment has so far been an outstanding success.

Because the library was envisioned also as an important working tool for those in government service, we necessarily modified university policies governing loan and accessibility of books and other materials. Our librarian prepared a leaflet, "Invitation to Learning," describing the purposes of the library and indicating how government employees not in our classes, as well as members of the Society for Public Administration of the Philippines, might register and obtain borrowing privileges. Our facilities were so superior that civil servants quickly began to take advantage of them.

Another problem was the building up of a collection of Philippine books, pamphlets, government documents, and ephemeral vertical file materials. One of our first research projects was the preparation of a complete bibliography of Philippine public administration materials. At the same time by letter, by personal visit, by persistent cajolery, we tried to get on the mailing lists of government agencies and the official printing office to receive all new publications and materials dealing with public administration. In a country where traditions of public distribution are not systematic, endless follow-ups were necessary. More successful was our program for exchange of publications with foreign institutes and government agencies.

It was not a part of our original plan that we should get into the special library picture on a governmentwide basis. Prior to our arrival there had been two professional studies of special departmental libraries, which had highlighted the need for instilling a "service attitude" and for professional management. A project known as the Inter-Departmental Reference Service had also been approved by the Mutual Security Agency and by the Philippine Council for United States Aid; it was floundering around pending a decision on a departmental home. With considerable reluctance we listened to requests that the project be placed in the new institute. Taking on the reference service largely as a public relations gesture to get people into our institute library, where they would learn of our new institute, we embarked upon an originally uncontemplated governmentwide library program. The service shortly became one of the most satisfying parts of our total institute effort.

The Inter-Departmental Reference Service is a cooperative program among the departmental libraries. There are now fifteen member libraries. The service's central staff of six, budgeted through the Institute of Public Administration, devotes much of its time to helping the member libraries organize and catalog their collections. A major undertaking has been the development of a union catalog to be located in the institute's library. A Union List of Serials was also developed and published. Since many departmental libraries have no professional training, the service has assisted with instruction to upgrade employees on the job, while working at the same time toward governmentwide improvement of professional qualifications for original recruitment. The service has conducted two well-attended week-long workshop conferences for librarians, and staff members of the service and of the institute library stimulated the organization in January, 1954, of an Association of Special Libraries of the Philippines.

Although government special library problems were not originally envisioned as a central concern of the institute, subsequent developments indicate that assistance in improving library service may well be one of its most lasting contributions.

H

THE two main parts of the educational program of the institute are in-service training for government workers and course work leading to academic degrees at the University of the Philippines. Since service to the Philippine government and its employees was a prime objective of the institute, we decided to locate its activities in downtown Manila close to the government offices, rather than at suburban Diliman where the main campus of the university had been relocated after the war. Furthermore, it was agreed that the extensive academic offerings leading to the bachelor's and master's degrees in public administration should be taught after regular government office hours, in order that qualified government workers might participate. The institute library and instructional program are ideally located to serve government workers, and the Diliman campus students have shown a willingness to leave the cloistered halls and mix with the working students and visiting lecturers from government departments.

Since in-service training was a new idea, at least on a governmentwide basis, months were devoted simply to talking to numerous government officials about it. The program thus evolved slowly, but we believe soundly, in response to a rising interest in it. We rejected initial suggestions to embark on ad hoc training courses to meet the needs of particular departments and agencies; such courses and consultation on particular departmental problems came later.

Location of in-service training in the University of the Philippines, the national university, created a special need to develop high-

level support within the government. We wished to avoid any reaction that we were a purely academic, impractical operation, or that we were simply transferring American methods to a new environment. We desired an indigenous program and indigenous training materials, and insisted that Philippine officials work closely with the institute staff in develop-

ing them.

We especially wanted a committee of toplevel officials to give testimonial support and policy guidance to our in-service training activities, and we felt that the President and the Cabinet should themselves establish the framework. The plan adopted by the President and Cabinet was to create a government advisory board for in-service training, which included the secretary of education as chairman, the president of the University of the Philippines as vice-chairman, and as members the executive secretary to the President of the Philippines, the commissioner of the budget, the commissioner of civil service, and the auditor general. The members of the advisory board showed real interest in in-service training, and their understanding of problems helped to secure the adoption by the Cabinet of a strong statement of support for in-service training as a matter of governmentwide policy.

The board established a subcommittee of junior administrators to work with the institute's director of in-service training in the detailed planning of the program and the selection of training materials. In long sessions the subcommittee reviewed, revised, and made consonant with Philippine conditions program suggestions and training materials prepared by the institute staff; they were then submitted to the advisory board for approval.

In-service training began with a one-week course in first-line supervision, for supervisors nominated by their agencies under a quota arrangement. Groups of twenty to thirty supervisors were selected each week, with no more than two or three from any one agency in any one class. This course, started in May, 1953, with the expectation that it would be continued for a few months at most, was so successful that it was given almost every week through August, 1954, with over sixteen hundred government supervisors participating.

The second venture was inauguration of a

course in executive development for higherranking government officials. Nominations far exceeded quotas for the first course, which was given during a four-week period beginning in October, 1953, so it was repeated later that year, and three more times in revised form during July and September, 1954. Participants in these sessions were also drawn from a cross section of government agencies, thus fostering a recognition of common problems and developing a community of interest among officials throughout the executive branch.

One recommendation which came from participants in courses at each level of the administrative hierarchy was that officials of the next higher level would benefit from similar in-service training. This feeling, backed up by a sincere interest on the part of the new national administration in improving the standards of administrative management, led to the revival of a dormant Association of Government Executives, and to a three-day conference for bureau chiefs opened by President Ramon

Magsaysay and held in August, 1954.

The institute has also conducted a series of training conferences that have given special consideration to some of the housekeeping functions of government. Early in 1954 a records management consultant on the staff of the institute conducted a series of three one-week courses on records management; and because this is a particularly serious problem in the Philippines a second training conference on it was held later in the year. Another conference brought together about 135 officials engaged in personnel operations; in a two-week period the conferees, divided into work groups, produced a report on major phases of personnel management which contained recommendations for changes in policies, laws, practices, and programs. A similar conference on budget administration was held in June following revision of the basic budget act and inauguration of a performance budgeting system in the Philippines.

Over 2,500 government officers and employees completed in-service training courses offered by the institute during the first two years of its existence. Planning and conduct of these courses have occupied most of the time of the two full-time training officers on the institute staff, but considerable attention has also

been given to helping individual government agencies with their own training problems. The institute has held several training sessions for particular agencies, and institute staff members have worked with numerous agencies in helping plan specialized training programs.

The institute is now shifting emphasis from direct training to the stimulation and facilitation of training work within government agencies. This calls for assistance in the training of trainers and in the preparation of training materials, but for the conduct of direct training operations only for demonstration purposes. The Government Advisory Board has approved this reorientation of the training activities of the institute, and it is now being

worked out in practice.

The assignment of primary responsibility for the initiation of a governmentwide in-service training program to a university agency is unique. This arrangement was a product of special circumstances at the time the Institute of Public Administration was established. As an experiment, it has worked out even better than its backers anticipated, but it was never planned that the institute would continue indefinitely to function as a central in-service training unit for the Philippine government. Probably this function should be transferred at some future date to a central staff agency, such as the Bureau of Civil Service.

Academic instruction in public administration at the institute leads either to an undergraduate (B.A.P.A.) or graduate degree (M.P.A.). Curriculums for these degree programs were developed, approved, and put into operation during the first year after establish-

ment of the institute.

The underlying philosophy of the undergraduate curriculum stresses a broad liberal education as a foundation for public service. The customary work in political science and public administration and a basic understanding of economics, sociology, and psychology are required. The indispensable tools of administration, such as accounting and statistics, and facility in oral and written expression are also emphasized. Students are also expected to give attention to comparative institutions and administrative practices, not merely to those of the Philippines and the United States.

The first two years of instruction in the B.A.P.A. curriculum are given by the College of Liberal Arts; students begin specific course work in public administration during the

third year.

The M.P.A. degree requires thirty units of graduate work. All candidates for this degree are expected to take "core courses" in organization and management, public personnel administration, and fiscal administration, as well as a course in bibliography and methods. Students may choose courses offered by various other units in the university to suit their individual needs and interests. There are no thesis or foreign language requirements for the degree, but every effort is made to develop facility in oral and written expression.

The rising number of degree candidates shows the steady growth of interest in these academic programs. During the first semester of academic year 1953-54, there were 35 B.A.P.A. and 33 M.P.A. candidates. A year later the corresponding figures were 50 and 53. The total registration in public administration courses each semester is now well over 200. The number of students taking courses and working toward degrees with the institute has increased despite a deliberate policy of

discouraging mediocre students.

At first, about two-thirds of the upperclassmen and graduate students in the institute were government employees taking academic courses on a part-time basis after working hours. Now fewer than one-half are employed by the government or private enterprises; the rest are full-time students, most of whom are without experience in government service. These students must be suitably placed upon graduation if the institute is to serve its purpose of providing career officials for the Philippine civil service and is to continue to attract college students who are preparing for government service. Opportunities for placement are still uncertain because of the lack of any regular civil servicé examination for recent college graduates without work experience. The Bureau of Civil Service is planning a college recruitment system similar to the JMA program in the United States. Meanwhile, institute graduates have taken top honors in a series of special examinations given during 1954 by the

Wage and Position Classification Office, which is conducting a governmentwide classification and compensation survey. A dozen institute students are now working full time with this agency, and others have taken jobs in other departments. At the present, at least, there is no problem of placement, and the reputation of institute graduates is high.

Ш

s rrs third major field of operation, the A institute conducts research and issues publications on problems of Philippine public administration and offers consultant services to Philippine government agencies. Everyone on the institute staff has participated in these activities, but we made a special effort to insure attention to research during the early life of the institute by providing a full-time American research director, two American research fellows, and several part-time Filipino research assistants. American research personnel has now been reduced, but the permanent staff of the institute has been planned to provide the same emphasis on research and consultation work.

Considering the point of departure, we feel that the research output has been impressive, with a dozen publications issued and widely circulated during the first two years and other studies completed for a more limited audience. Because of the dearth of basic materials, we concentrated first on the preparation of a series of organization charts of Philippine government agencies and the compilation of annotated bibliographies on general public administration in the Philippines and on more specialized topics such as the Philippine civil service. Some later publications were closely tied in with the in-service training program, such as the handbook for government secretary-stenographers and a volume on supervisory problems. Organizational studies dealt with the Manila Police Department and the Executive Office of the President. Other publications included papers on demography and public administration, an analysis of government receipts and expenditures, and a series of lectures on current problems of Philippine public administration. A major research project was a survey of local government carried on by a team of Americans and Filipinos who made extensive field investigations to produce the most realistic appraisal ever made of this neglected aspect of Philippine government.

Although research of this kind will be continued, at present more stress is being put on the preparation of case studies of Philippine administration which can be used both in academic and in in-service training courses.

Consultative and public relations work has taken various forms. Staff members have made numerous speeches about the institute and public administration issues to academic, professional, and civic audiences in Manila and at many other places in the islands. Consultative services to government agencies have been requested and given, both by long-term staff members and by short-term consultants, on such varied subjects as records management, statistical services, drafting of fiscal legislation, conduct of oral examinations, planning and conduct of in-service training courses, and internal reorganization and procedural improvement in individual agencies.

An illustration of the institute's role in consultation is the assistance given to the Survey and Reorganization Commission established by the Philippine Congress to conduct a governmentwide reorganization study and make recommendations during 1955 to the President and Congress. Legislative committees and executive officials asked for help in drafting the reorganization bill. An institute consultant prepared a series of background memorandums on reorganization which were available to and used by the commission when it was set up. The commission accepted an offer to make library, duplicating, and other facilities of the institute available to the commission staff. The chairman of the commission, a leading government official who has always been a strong supporter of the institute, has drawn upon the institute for assistance along many lines, including the loan of a Filipino staff member to the commission for a period of several months. Such demands upon the institute for consultative services are on the increase. Provision must be made in the future staffing pattern of the institute so that this important obligation can be met adequately without sacrificing other needed work.

IV

 ${f T}^{
m ECHNICAL}$ assistance in public administration can be considered successful only if it equips the recipient country, within a reasonable time, to carry on the program satisfactorily without outside help. This is especially true for a project to establish an institute of public administration, where the long-run benefits which are hoped for outweigh by far any immediate contributions. With this in mind, planning for the Manila institute has concentrated on building up a going concern which would be turned over to Filipino direction and operation as rapidly as possible.

We have endeavored, within the four-year period of the contract, to provide a satisfactory physical plant, to secure adequate financial support, to develop a competent Filipino staff, and to assist in making the institute a recognized center for the improvement of public ad-

ministration in Southeast Asia.

Physical needs have already been well taken care of. Early in 1954 the institute moved to Rizal Hall, a war-damaged building of the University of the Philippines which had been reconstructed with peso counterpart funds. The building, centrally located in Manila, is shared with related units of the university, such as the Extension Division and the Statistical Training Center. Equipment requirements

are also well provided for.

Financial backing is a more complicated matter. Originally, funds came partly from dollars made available under the contract with the University of Michigan and partly from pesos out of counterpart funds. Dollar aid from the United States government presumably will end with contract termination in 1956. After that, any outside financial help will have to come from international agencies or from private sources such as philanthropic foundations. Already the Philippine government has shown its willingness to finance the institute on a permanent basis by appropriating to the University of the Philippines, during fiscal year 1954-55, an amount sufficient to maintain the basic program of the institute after it comes under Philippine auspices.

From the start, we recognized that the success or failure of the institute would rest largely upon the caliber of the staff, American and Filipino. The University of Michigan has taken seriously its task of recuiting contract personnel, both from its own faculty and from outside sources. Most appointees have had assignments of one or two years. Use has also been made of a number of outstanding shortterm consultants serving on two- or threemonth specialized assignments, including Lillian M. Gilbreth, Henry Reining, Jr., Thomas J. Pugliese, Frank M. Landers, John D. Mil-

lett, and Lloyd M. Short.

Ultimately the fate of the institute depends upon the Filipinos who will be on its permanent staff. The aim has been to give all possible assistance to the University of the Philippines in securing an outstanding faculty for the institute, and to expedite the transition of institute operations from American to Philippine hands. A major step in this direction came in July, 1954, when Filipinos were appointed to the key positions of director and secretary of the institute, replacing American contract personnel. Teaching, research, and in-service training functions are now carried on in large part by Filipinos. Clerical staff and the staff of the Library and Inter-Departmental Reference Service have always been exclusively Filipinos. The transition has now proceeded to the point where it is accurate to say that the institute is in Filipino hands, with American help provided only to round out the staff pending the return of Filipinos now being trained abroad.

Although started later than we desired because of delay in getting FOA backing, a systematic trainee program for future institute staff members is now being carried out in the United States under the direct supervision of the University of Michigan. Some trainees have already returned to Manila, several others are now in the United States, and more are scheduled to come during the last year of the contract. These trainees are carefully selected, and receive in this country combined academic and nonacademic training at various universities and with a variety of government agencies, under the guidance of a training coordinator on the staff of the institute in Ann Arbor. The competence and potentialities of these Filipino staff members and trainees give us confidence that the institute will be able to live up to expectations after they have full responsibility.

All parties concerned in establishing the

Philippine institute have shared the hope that it might become a recognized center for public administration training and research for the whole of Southeast Asia. Although all states in this region should be encouraged and helped toward administrative self-improvement, it is not realistic to attempt to duplicate in each country the facilities already available in Manila. The institute has received widespread attention during its short life from educators, public officials, and students in other countries in Southeast Asia besides the Philippines. Academic students have registered with the institute from Burma, Formosa, India, Indonesia, Okinawa, and Thailand.

The institute has been able to offer a limited number of scholarships to students from other Southeast Asian countries as well as from the Philippines. Competition for these scholarships has been heavy, despite difficulties in providing notice to all potential applicants. Over a dozen scholars have already been appointed from outside the Philippines. Despite language handicaps, disparities in prior education, and wide variance in administrative backgrounds, these foreign students have been able to make satisfactory, and in some cases outstanding, records. We expect more non-Filipino students in future years.

In-service training on a regional basis is also a possibility, with plans now being considered for a regional management conference to be held in Manila under institute auspices sometime in 1955.

This progress report on the Institute of Public Administration at the University of the Philippines gives only part of the story. It covers the direct operations of the institute, but deals inadequately with ramifications affecting many phases of Philippine public administration. For instance, the Society for Public Administration of the Philippines, organized in 1953 with assistance from the institute, has grown rapidly and started a vigorous program of activities. Growing attention to civil service reform, administrative reorganization, and other improvements in Philippine administration is partly due to stimulus from the institute. Public service as a career is the objective of a growing number of promising young college students. These are encouraging signs. The University of the Philippines, through its Institute of Public Administration, is showing what can be accomplished by a joint technical assistance project which looks to the future without neglecting the day-to-day administrative crises which must be met in a newly independent Southeast Asian Republic.

State Watershed Policy and Administration in Tennessee

By LAWRENCE L. DURISCH and ROBERT E. LOWRY

Government Relations and Economics Staff
Tennessee Valley Authority

I

THE small watershed approach to conservation of soil and water resources is currently receiving a great deal of emphasis from federal agencies and from local organizations in all parts of the nation. Enactment of the Hope-Aiken Act (H.R. 566) by the 83d Congress is evidence of federal interest in the watershed approach. The first National Watersheds Congress, held in Washington in December, 1954, served to dramatize the widespread popular and professional support of the watershed movement.

Recent thought and study of local watershed programs have been directed to the role of local and federal agencies¹ and to state enabling legislation which will permit local watershed organizations to come into being and function effectively. There is little to indicate, however, that state governments and state administrative agencies are developing or being assigned a major role in watershed programs.

In October, 1954, the state of Tennessee in a memorandum of understanding with the Tennessee Valley Authority, signed by Governor Frank Clement, recorded its desire to develop state programs in designated watersheds within its borders. While this action took place at a time of considerable state interest in the Hope-Aiken Act, it should be noted that it left unchanged the state's relationship to nationally administered programs of small watershed improvement. The memorandum sought instead to combine elements of state responsibility and TVA technical assistance for the improvement of upstream watersheds which are a part of the Tennessee River system. This river is already extensively controlled by TVA multipurpose dams, but coordinate work on small tributaries is a well-recognized need.

Both parties to the memorandum, TVA and the state, consider it a means to utilize certain advantages of the watershed approach—local sponsorship and the federal technical and financial aid that attend water-related programs—together with state administrative direction characteristic of broader programs of local area development in Tennessee. The declaration in the memorandum that "leadership for the planning and conduct of a tributary watershed development shall be provided by the State of Tennessee" is unique in the small watershed movement to date.

The memorandum identifies the small watershed as a basic work unit for local land-water programs of common interest to the state and TVA. It contemplates local responsibility and local organization for these programs, but recognizes also the advantages of technical skills available often only at the state or federal level. The state undertakes to provide or endeavors to secure this technical assistance. TVA agrees to channel the help it has available through the state. TVA assistance will be

mainly in economic and engineering surveys,

¹ Reference is made, for example, to A Discussion of the Watershed Protection and Flood Preventiop Act, printed for use of the Committee on Agriculture, 83d Cong., 2d sess. (August, 1954): Watershed Protection, by D. A. Williams, administrator, Soil Conservation Service (multilithed); "Institutional Arrangements for Watershed Programs," an address by Stanley W. Valker and John Muehlbeier, for delivery at the annual meeting of the American Farm Economic Association, Pennsylvania State University, Aug. 24, 1954; committee reports, National Watershed Congress, Washington, D. C., Dec. 6-7, 1954.

supplying fertilizer materials for demonstrations of desirable farm management practices, supplying hydrologic data needed in the program, and helping in the conduct of agricultural, forestry, recreational, and other developmental programs as agreed upon. All of these represent activities TVA has conducted on an extensive scale throughout the valley since 1934. A more intensive application of the programs in selected watersheds is now contemplated. Watersheds to receive special attention will be designated for cooperative action by agreement between the two parties to the memorandum.

The memorandum itself is the product of several months of careful consideration by the state and TVA staffs. It is based on the proposition that land-water programs centered in small watersheds have greater value to a locality if combined with other developmental programs. Paragraph 6 of the memorandum contains this significant passage:

To accomplish the objective of comprehensive development in watersheds thus selected or to be selected, the State of Tennessee by detailed surveys will determine local opportunities in such subjects as agriculture, forestry, flood control, land reclamation, electric power utilization, recreation, public health, education, manufacturing, and trade; it will take steps to reach local agreement upon appropriate action in each of these fields; and it will undertake a coordinated program which recognizes the interrelationships among all local resources.

The activities noted are thus to become part of an area development program built around land-water relationships.

It should be recognized that the memorandum does not commit the state to a greatly expanded program as measured by the expenditure of state funds. Tennessee, as other states, is hard pressed for funds to meet rising demands for education, highways, welfare institutions, and many other purposes. Rather than creating new state services for special application in small watersheds, the memorandum contemplates a more orderly and purposeful use of existing state facilities-as well as of federal and local-thereby strengthening the overall economy of local areas beset with water problems. Working with local organizations, the state thus will seek assistance from the many sources where such assistance is available; it will also utilize in watershed work its own established programs.

The administrative arrangements to enable the state to carry out the policy announced in the memorandum are still incomplete. Tennessee, like most states of the Southeast, has no administrative division expressly devoted to watersheds or water management. Tennessee does have a Department of Conservation which contains many, but not all, of the agencies engaged in resource development activities. Governor Clement designated a former Governor of the state, now commissioner of conservation, as his representative for cooperative watershed programs under the memorandum. Named to a full-time post as coordinator for small watersheds is a former commissioner of conservation. Through the Department of Conservation there is liaison between the coordinator and the Governor's committee appointed to serve the state in the selection of watersheds under the Hope-Aiken Act. The separation of the two activities emphasizes, however, what appears to be the intent of the state administration that its experiment under the memorandum shall supplement and in no way displace the responsibilities and opportunities accruing to it by the national watershed statute.2

The experimental state watershed program in Tennessee is now centered along the Beech River in the west-central part of the state. Beech River empties into Kentucky Lake, created by a TVA dam on the Tennessee River. The watershed is a 300 square mile area featured by very badly eroded soils, recurrent flood problems, and lack of a strong basic economy. As an important asset the area appears to have energetic local leadership and a will to better itself. A citizens committee is headed by the county judge of one of the two rural counties through which the Beech River flows.

State officials are currently holding a series of meetings in Beech River, using findings and recommendations based in some instances upon earlier technical surveys by TVA. At these meetings state and local representatives are carefully reviewing alternative lines of ac-

⁸ The Governor's committee to process local applications for federal assistance in Tennessee under Public Law 506 consists of the commissioner of agriculture as chairman, the state forester, and a member of the State Soil Conservation Committee.

tion. After agreement the state coordinator will direct requests for necessary technical and financial help to the appropriate state and federal agencies; these requests presumably will be accompanied by plans for local participation. According to present thinking the local organization will continue as a forum of local opinion; operating responsibilities will be taken over by existing agencies, carrying out agreed-upon plans of action. The local arrangements are tentative and exploratory; no committing decisions regarding organization are being made until programs now in a discussion stage are further advanced toward operation.

п

RIEF mention of certain backgrounds may B help in understanding the reasons for Tennessee's willingness to accept added responsibilities in small watersheds. One is the belief, now well established; that the state has special responsibilities to provide technical assistance to localities which otherwise could not obtain it. This idea underlies the established program of local planning assistance of the Tennessee State Planning Commission; the assistance to organized rural communities provided by the Agricultural Extension Division of the University of Tennessee; the local government and finance services of the University's Bureau of Public Administration; and the program of assistance to municipalities provided by a unique arrangement between the municipalities, the state, and the University of Tennessee. This last arrangement resulted in the establishment of the successful Tennessee Municipal Technical Advisory Service. In each of the other programs of technical aid from state to locality an outstanding record of achievement also has been made. Technical assistance to small watersheds from state sources thus is no departure from established Tennessee policy and experience.8

The multipurpose program of area development in the Tennessee Valley over the past twenty years has put considerable emphasis upon state participation in programs designed along areal rather than purely functional lines. This regional experience provides additional logical precedent for Tennessee's current action with regard to small watersheds. Considerable evidence has been built up to indicate that water resource development in a given area goes hand in hand with fulfillment of other resource opportunities, and is indeed inseparable from the over-all economy. The years of regional demonstration of the interrelationship among resources and of state participation in all aspects of resource development thus are reflected in this decision by the state of Tennessee in 1954 to experiment with a comprehensive approach to small watersheds.

Related to the action taken in Tennessee to provide state leadership in small watershed development, and giving it increased significance, are new urban, agricultural, and industrial demands for water. Trends in water consumption in Tennessee and its sister states of the Southeast warrant the conclusion that more careful water management at the state and local levels is needed. From the point of view of economic and social development the increased use of water is, of course, highly desirable. In terms of mounting pressures on available and potential supply, it is a matter of administrative concern. Water problems have long been a major subject of state law and administration in the semiarid West. Today the states of the Southeast are giving serious study to formulating a new body of law dealing with water rights.4 New urgency is being given to measures for improving water quality, including an extension of interstate compacts, and to apportionments of water among the most useful of its many and sometimes competing purposes. There also is growing realization by the states of the value of mainstream storage to stabilize surface water supply, supplementing storage for water control during the flood periods.

Upstream watershed programs are an inte-

^{*}For further discussions of these programs, see Almon H. Sims, Building a Better Tennessee through Rural Community Improvement, Tennessee Agricultural Extension Service Publication 321 (January, 1950): Gerald W. Shaw, "How M.T.A.S. Has Served Tennessee Cities," Town and City, pp. 13-18 (September, 1951); Harold V. Miller, For Tomorrow, Special Publication, Tennessee State Planning Commission (December, 1952).

Action to study and recommend changes in state water law is under way in six of the seven Tennessee Valley states, and the problem in some states is ranked among the three or four of top importance in 1955 legislative sessions.

gral part of efforts to meet problems of water supply. Many activities in small watersheds are designed to conserve and stabilize water flow, thus maintaining supply both on the immediate lands and in downstream areas as well. It is noteworthy, therefore, that this phase of the association of water problems has been so largely passed over as a state activity, and management of small watersheds left primarily to federal-local arrangements. The Twelfth General Assembly of the States, called by the Council of State Governments in December, 1954, took official cognizance of state responsibility and opportunity in water conservation, with initial thinking perhaps more in terms of substantive law than of administration. The assembly resolved that the council and its drafting committee consider model state legislation for the improvement of state water law and the "development of legislation fostering watershed organization for management purposes." The Tennessee memorandum of understanding seems to go farther than has been the case elsewhere in making it possible for administration of water resources on upstream watersheds to be integrated with over-all state policy on water regulation and use, and with other phases of river basin development.

The state watershed program in Tennessee is experimental and exploratory, and is only a beginning in a broad, complex field of development. Many questions of state-federal and state-local relations are posed by the state action. The relation of the state watershed administrator to the various branches of state government, not all of them accustomed to direct coordination by the office of the Governor, will require a special measure of tact and restraint. The form of local watershed organization, and the relation of special watershed districts to existing local bodies concerned with resources and economic development, are problems yet largely unsolved. The difficulties of securing local participation, and of determining benefits and assessing costs, are not dissipated by the assumption of greater responsibilities by the state. Should the state further expand its effort to protect and regulate water resources, including programs in upstream watersheds, the need for adjustments in the state organizational structure may become apparent. In some of these problems of organization and policy Tennessee will benefit from the experience of other states, but perhaps in others it will tread new ground.

Ш

By its very nature a small watershed program is a community-wide undertaking combining features primarily of local benefit with measures whose impact spreads over a much larger region. Individual land operators in a watershed should be encouraged to take steps for the common good, with or without outside incentives. A local organization must be willing and in a position to assume responsibilities for the formulation of a project plan and for local participation in carrying out the program, including operation and maintenance of project facilities. To do these things it is certain that individuals and local organizations will need assistance from higher levels of government in matters which range from the surveys and technical information on which a watershed plan must be based to the financing, construction, operation, and maintenance of necessary water control structures.

An important part of the assistance which local groups must have to conduct effective small watershed programs is available from federal sources. It is apparent, however, that federal appropriations and federal administrative resources are and will remain wholly inadequate for the tasks which government is assigned in this field of local activity. The institutional resources of state government must be employed in the solution of problems presented by the thousands of small watersheds in the nation needing treatment, each of which may require individual attention. This is particularly true if programs for local water control are to be merged with broader considerations of area development. State action on the upstream sources of water supply seems especially appropriate in view of the widespread concern over water supply and its effects upon economic progress. It is desirable, therefore, to seek the infusion of strong elements of leadership and technical service available or potentially available at the state level. Opportunities for small watershed development are a real challenge to "the American talent for political invention," and Tennessee has provided evidence of the desire and intention of one state to respond to that challenge.

Managing New York State's Records

By VERNON B. SANTEN

Associate Budget Examiner (Management)
N. Y. State Division of the Budget

A Mong the largest physical products of governments are the records they create, acquire, and maintain. Federal, state, and local governmental agencies accumulate literally tons of records each year in their business of serving the public's needs, protecting the public's interests, and preserving the public's individual rights. Continuous analysis and appraisal are required to determine the need for these records in current and future operations. The retention of unneeded records hampers operational efficiency and results in wasteful expenditures of time, equipment, and rentals.

T

New York State over the years on numerous occasions sought to preserve and protect the records created by state agencies and local units of government through the enactment of legislation that provided primarily that the public records should be properly arranged, housed, and preserved for future reference. Legislation with the objective of the management of all of the public records of the state was not enacted, however, until 1911. At that time, following the disastrous fire at the State Capitol and contemporary with the opening of the new State Library facilities, the Legislature acted to insure the proper preservation of the records of all levels of government within the state and to provide for the destruction of records no longer having continuing value. From 1911 to 1947 efforts were made, so far as the law and budget appropriations permitted, to see that all of the records of state and local units of government were properly housed and cared for and that no records were destroyed without the consent of the commissioner of education; however, the lack of sufficient funds and the general lethargy of

state and local officials prevented this program from being as fruitful as the persons operating it desired.

The growth of state government, the increased use of record-making facilities, and the general reluctance of public officials to destroy evidences of their operations made it mandatory that some orderly process be devised by which records no longer of value to state and local units of government in New York State would be destroyed and records of continuing value would be properly preserved. The Temporary State Commission on Coordination of State Activities in March, 1947, drew public and legislative attention to the state's records problems. Its interim report made a critical analysis of the preservation and disposal of records of state agencies and of local units of government. As a result of the activities of the commission and of the increasing difficulty of units of government in finding adequate space for housing records, legislation was enacted in 1950 and in 1951 providing both state and local governments with workable procedures for managing the records in their respective jurisdictions. Two general programs were established: a state records program, to be administered by the director of the Division of the Budget, and a local records program, to be administered by the commissioner of education. The director of the Division of the Budget assigned the operation of the state records program to the Administrative Management Unit of the Division of the Budget. The commissioner of education assigned the operation of the local records program to the Public Records Section of the Division of Archives and History.

The records of the city of New York were exempted from these programs, since the city charter provided for disposition of records of city agencies. No provision was made to cover the records of the state Legislature or of the various levels of the judiciary, state or local. Judicial records were subsequently covered by legislation sponsored by the State Judicial Council. It is interesting that as a part of the local records program the records of "authorities" were covered. These increasingly numerous public governmental corporations, legally defined as "public benefit corporations," are included in the terms of the local public

records law as public corporations.

The state program provides that records proposed for destruction shall be reviewed by three state officials before final authorization for disposal by the director of the Division of the Budget. Requests for authorization to destroy state records are reviewed (1) by the comptroller to determine if the records are or will be required for audit purposes and if they have been or will be retained for a sufficient period to permit him to perform properly his legally assigned duties as the auditor of receipts and expenditures of all state moneys; (2) by the attorney-general to determine if the records are or may be required in the prosecution or defense of actions for or against the state and if they have been or will be retained for a sufficient period to permit him to perform properly his legally assigned duties; and (3) by the commissioner of education to determine if the records have sufficient cultural value to warrant their continued preservation and if they need to be preserved longer than the proposed retention period because they are essential for scholarly or technical research. The director of the Division of the Budget may not authorize the destruction of a record series if any one of these officials, within thirty days after notification of proposed destruction, advises the director that in his opinion these records should not be destroyed.

The local records program does not permit the destruction of records which have not been retained for the longest minimum period required by the federal government; any state agency so that it may properly carry out its assigned duties and responsibilities; the rules and regulations of the commissioner of education; and any provision of law. Local records not subject to disposition include, but are not limited to, incorporation and dissolution certificates of municipal, district, and public benefit corporations; official minute books of legislative bodies; original official copies of laws, ordinances, rules, and regulations; oath books and registers of official signatures; the "official" copy of annual or special reports; documents recording the official acquisition, sale, transfer, or encumbrance of public or private real property; official maps, surveys, and reports on boundaries indicating the legal location of public or private real property; official birth, death, and marriage records; the warrant copy of the official tax lists (school districts excepted); and the official election rolls or poll books.

II

THE state and local records programs at the outset presented administrative problems arising out of the magnitude of the work involved. At the state level there were the records of some 19 state agencies to be reviewed, some of which were dated prior to Revolutionary days. At the local level there were the records of some 30,000 offices located in 57 counties, 61 cities, 547 villages, 932 towns, approximately 4,000 school districts, and an undetermined number of district corporations (sewer, lighting, water sanitation, road improvement, etc.). In each of these types of units, particularly the counties, cities, villages, and towns, were records dating from immediate post-Revolutionary days, including land records affecting areas of government created out of the original counties of the state.

It was decided to proceed at both the state and local levels on two major offensives: to dispose of valueless records and to preserve valuable records. The basic objectives of a sound records management program were outlined as follows: (a) the economical and efficient maintenance of all valuable records as long as they continue to have value, providing adequate safeguards against their destruction; (b) the prompt destruction of all valueless records as soon as they lose their value; and (c) the elimination of the creation, filing, and retention of unnecessary and valueless records. It was early realized, however, that a records "birth control" program could be only par-

tially successful in preventing the creation and retention of valueless records.

In attacking the vast bulk of records, a number of prime considerations had to be borne in mind to insure proper selection of records for preservation or disposal. As the work progressed a general mnemonic—ALFRED—was developed for assessing the value of both state and local records, the letters indicating their various kinds of values.

A-Administrative value. What value does the record have to the agency receiving, creating, or maintaining it? At what point may the record be disposed of without adversely affecting the administrative processes and procedures of the agency having custody of it?

L-Legal value. Does the law require that the record be retained to protect the rights of individuals or to justify at law administrative action taken? Is there a terminal period when these values cease to exist? Will destruction of the record after this terminal period adversely affect citizens or officials?

F-Fiscal value. What types of fiscal transactions are recorded? What fiscal needs are met by retaining the record? Are these fiscal needs continuing, and if so, for how long?

R-Research value. Is the information contained in the record currently or in the determinable future required for administrative research purposes? Is the information recorded elsewhere in summary form sufficient for research needs? What "potential" research values exist?

E-Educational value. Does the record contain information of long-term historical value? Will it be required in the determinable future as a source of scholarly research data? Does it possess or will it presumably have an historical value for economics, sociology, religion, or other fields?

D-Documentary value. Does the record have an intrinsic value which may make it a collector's item? Does it have potential antiquarian value?

There is a basic difference between the state and local records programs. The local program is voluntary, with emphasis on educating local officials to manage their records properly. The state program, although at present administered on a relatively voluntary basis, permits the director of the Division of the Budget to require the disposal or destruction of valueless records. The state records program has been and is effective because of its location in the office that controls the purse strings. If funds for additional personnel for a records operation are requested, the director of the Division of the Budget through his review of budget requests is able to inject himself into the records management problems of the agency making the request. If additional space for files is requested, the budgetary review of the request will naturally involve questions of the need for the records in the files and their continued retention. When a new program is initiated, the records involved in the program can legitimately be subject to review and "birth control" measures can be taken.

In the local records program some 1,500 different records have thus far been reviewed, and some 900 are scheduled for disposition after specific retention periods. Local units of government have submitted almost 1,000 requests to dispose of records. As an adjunct to the disposition program, a basic school filing system covering all of the records normally maintained by an operating school unit has been designed. Similar basic filing systems are in process of design for town and village records, particularly those in the offices of town and village clerks. With the achievement of basic filing systems the execution of established disposition schedules is expedited and records appropriate for preservation are easily segregated from those of temporary value. Advice is also given on the construction of vaults, the purchase of safes and insulated filing equipment, microfilming techniques, and records storage containers. The staff of the local records program consists of four technicians and one clerk-typist.

Operationally, the head of each state agency is made responsible for establishing and maintaining an active, continuing program for the management, preservation, and disposition of the records of his agency. Current regulations require the head of each state agency to assign to a member of his staff the responsibility for establishing and maintaining an accurate inventory of all the records of the agency; developing justifiable retention periods; disposing promptly of those records authorized for destruction; establishing and maintaining ac-

curate records indicating the identity and quantity of all records destroyed, any moneys resulting from the disposal of such records, and the equipment and space previously occupied by the records; processing, storing, and preserving all records of the agency in an efficient and economical manner; controlling the creation of new records and, where practicable, consolidating and eliminating existing records; maintaining the records in a manner that permits the orderly and rapid separation and removal of records authorized for destruction; and establishing and maintaining records related to the management of the departmental records and furnishing special reports to the director of the Division of the Budget.

The person assigned these responsibilities is known as the records officer of the agency. There is no definite pattern of assigning this responsibility, but the records officer is usually an employee having administrative fiscal du-

ties.

Over 3,000 state records disposition authorizations covering some 4,000 different records have thus far been processed by the one technician assigned to records management work in the Administrative Management Unit of the Division of the Budget. The savings effected by the records program are difficult to assess since many of them have resulted from denials of requests for additional personnel, filing equipment, and storage space. In one agency over 250 tons of records were destroyed, freeing 8,000 sq. ft. of space for which the annual rental was \$3,200. In another agency over 45 tons of material were destroyed, with an annual rental savings of \$1,100. Procedural changes under consideration in another agency will result in an estimated annual personnel saving of \$20,000 and a reduction in materials costs of some \$8,000 annually. In one of the larger state agencies space taken by over 5,000 file drawers was made available. As in the local records program, the state program includes advice to state departments and agencies on filing equipment and supplies, microfilming techniques, and the purchase of insulated recordkeeping units including vaults and safes.

Savings have also been effected in planning new installations. In a recent instance involving the construction of new facilities a files layout was proposed which upon preliminary review seemed to be very economical. Analysis of the use of the equipment, the records to be stored therein, the retention period established for the records, and the uses made of the records while in active office space indicated that the equipment proposed did not adequately meet the operating needs of the agency. Different types of equipment were recommended which, upon review with the operating officials concerned, were found to be more satisfactory from an operating point of view than those originally requested. The recommended items were purchased for \$3,000, or \$2,500 less than cost of the equipment originally requested.

Although immediate dollar savings have been made at both state and local levels, perhaps the greatest benefit of the records management programs cannot be translated into dollars and cents. Both programs are causing public officials to realize that each of their employees who is creating records is creating a records problem which must be given immediate attention; otherwise, its solution will, with passage of time, require increasingly

large expenditures of public funds.

III

r would appear that the local records program in New York State suffers because it operates on a voluntary basis. However, a mandatory program does not seem possible. Local units of government would understandably resist any state legislation which would decrease their power to dispose of or retain records for the creation and maintenance of which they are appropriating local moneys. The policing of any mandatory legislation would require a field staff out of proportion to the results which it could achieve. Also, the creation of a state policing agency would involve considerable expenditures of state funds for which there would be little or no local backing.

The operation of the state records program is hampered by the fact that there are no formalized records storage centers and no definitely established state archives or custodial agency. The lack of an appropriate custodial agency and records centers frequently

results in the use of expensive departmental office space for storage.

The management aspects of the program, experience has proved, are best placed in the Division of the Budget where, through the budgetary review process, department and agency heads are annually placed in a position where they must justify their need for funds for the maintenance and creation of records. Removal of the management aspects of the program from the Division of the Budget to an operating department would drastically reduce the effectiveness of the program both in its "birth control" and in its disposal features.

Looking to the future, one cannot estimate a date on which it will be possible to say that either the state or the local records management program has achieved its objectives. In each program there is a backlog of work to which changing times and governmental operations continue to contribute. It is reasonable, however, to estimate that by 1960 the program will be advanced to the point where most of the records of governmental units in New York State worth preserving will be properly preserved and most of those which should be consigned to the junkman will have been destroyed.

Central Government Inspection of Local Services in Britain

By JOHN S. HARRIS

Assistant Professor of Government Wayne University

devices employed by the British central government in the exercise of direction, supervision, and control over the activities of local authorities, inspection is the most significant. After more than one hundred years of successful employment its importance is firmly established.

To the American reader the word "inspection" is likely to connote a process of central investigation, narrow in scope and dedicated largely to the discovery and correction of local violations and administrative deficiencies. Such a concept is inadequate and misleading. The inspectorates of the various ministries do, of course, observe and report back to their superiors in Whitehall on the manner and efficiency of local government authorities in discharging the duties and responsibilities entrusted to them by Parliament. But of far greater significance, they are permanent, highly professional advisory groups which make available to local authorities expert knowledge gained through years of observation and study. Often they speak for the central department and upon occasion act on its behalf. Invariably inspectors are specialists who know what to look for and where to find it. It is their peculiar talent to discover quickly the essence of a problem and to discern the difference between seriances. In carrying out liaison and advisory duties they rely principally on knowledge of the specialized field, courtesy, common sense, and persuasive powers. They do not censure or dictate.

The number of local authorities subject to central supervision and inspection is large, and these authorities perform extensive and often complicated services, involving the expenditure of hundreds of millions of pounds and the employment of hundreds of thousands of men and women. Thus, local police forces numbering in excess of 45,000 are maintained by 50 counties and 72 county boroughs. Education authorities-counties and county boroughsnumber 163 and are responsible for some 29,-000 recognized schools or departments. Under the National Health Service Act, the councils of 145 counties and county boroughs are designated as local health authorities and are empowered to provide various types of services. Fire brigades are operated by counties, county boroughs, and, in some instances, joint authorities; road authorities include counties, county boroughs, municipal boroughs, and urban districts.

1

Until the beginning of the nineteenth century local government services were relatively restricted and were provided without any appreciable central government guidance and supervision. However, industrialization caused fundamental changes in the economy which, in turn, necessitated extensive political and social reform.

The Prison Act of 1823 placed certain prison administration activities of local authorities under the control of the Home Office, and the

ous defects and superficial or irrelevant griev-

¹ For an analysis of these administrative devices see: D. N. Chester, Central and Local Government; Financial and Administrative Relations (London: Macmillan and Company, Ltd., 1951), pp. 38-123; Herman Finer, English Local Government (4ed.; London: Methuen and Company, Ltd., 1950), pp. 293-343; E. L. Hasluck, Local Government in England (London: Cambridge University Press, 1936), pp. 94-130.

Reform Act of 1832 changed radically the system of parliamentary elections and paved the way for further developments. The Factory Act of 1833, however, made the first provision for central government inspection and thus created a major device for exercising central government supervision and control. The principle of control and inspection was extended in 1834 to the whole system of poor law administration; in 1839 the inspectoral system was adopted for schools which received subsidization from the Privy Council; and in 1848 it was utilized by the Board of Health in the supervision and control of local health activities. Police inspection by the Home Office began in 1856; inspections of local government highway construction and maintenance and fire services were undertaken in 1920 and 1948, respectively.

Seven major reasons have impelled Great Britain during this period of a little more than one hundred years to develop and extend central supervision over the activities of local authorities.

Central control has been necessary to secure a national minimum standard of efficiency throughout England and Wales. Some local authorities are always more progressive than others, and in some areas conservatism and provincialism are important influences. The maintenance of a high standard of efficiency requires unremitting effort, for it is easy for an authority to justify its own slackness by pointing to the shortcomings of a neighboring council.

2. Central control of local government activities seeks to eliminate the confusion which might result in some fields from extreme diversity of practice. For example, if constabulary or fire forces were permitted to function without the benefit of detailed regulations issued by the Home Office, difficulties would be encountered in dealing with local and national emergencies requiring joint action.

3. Since Parliament authorizes local authorities to levy rates for the financing of a variety of services, it would be failing in its duty to the majority of citizens if it neglected to take the steps necessary to insure that the money raised locally was well spent.

 Selfish, powerful interests within a local authority may seek their own advantage to the detriment of the community as a whole. The central government protects the majority against corruption on the part of a minority.

5. Local authorities may lack knowledge of the functions entrusted to them. Their comparatively small range of information is due in part to the relatively small size of their areas and in part to the fact that elected councilors seldom have a long and continuous connection with or interest in local policies. Central inspectorates can place the experience of each district at the disposal of every other.

6. Antipathy to the payment of taxes is widespread and, without central inducement, many local authorities might hesitate to levy rates sufficient to provide the funds for a high standard of local services. In the past, when the central government desired to institute a new social service it had to coerce and bribe the local authorities to do their share. The most important local functions—education, police, health, highways, fire services, and public assistance—were first assumed voluntarily by some local governments. Later, because of their national importance, the provision of these services was made obligatory.

7. Many local authorities have been unable to finance their services from the resources available to them, and Parliament has had to extend substantial grants-in-aid. Parliament approves annual expenditure of many millions of pounds, and quite properly it desires to insure that they are wisely used.

Significantly, when local authorities in England and Wales have criticized inspectoral supervision and control, they have usually directed their criticisms against specific aspects of the program rather than against the entire system. In fact, local authorities and the central departments are usually in general agreement on the lines of projected progress, for they are working in the same climate of public opinion.

Although the principal purpose of central supervision and inspection is to secure a national minimum standard of local service throughout the country, local authorities sometimes complain that the system is detrimental to the maintenance of a healthy democracy. Further, supervision from Whitehall is alleged to be harmful to the morale of local government officers and councilors. Where central

control is excessively detailed, local officials are unwilling to take action on their own initiative and local responsibility suffers. And in the event that the central government acts in an arbitrary fashion, no effective redress is avail-

able in many instances.

Local officials have also complained upon occasion that central inspection and supervision add to the total tax burden, in spite of the fact that Parliament provides substantial subventions from the national treasury. In these instances local officials obviously overlook the fact that the standards of service are usually raised through inspection. Another objection is that the costs of administering various types of control devices and the delays they cause outweigh the improvements they effect in services to the citizenry. Local officials also complain that the system tends to restrict local experimentation and development and that the more progressive authorities are restrained by the central ministries and forced to conform to administrative standards suitable to the average authority. Nor is it readily admitted that the services rendered under Whitehall supervision are invariably more efficient than they would be if the local authorities were permitted to go it alone. And finally, local authorities sometimes are not convinced that in ability, training, and experience central government administrators are necessarily superior to local administrators.

H

CENTRAL departments employ two main types of inspectors: those who work on a permanent basis in well-defined geographical areas and are concerned with the administration of a particular local government service, and those who are sent into a district to conduct an investigation or to hold an inquiry on some specific phase of local activity. Housing, engineering, and planning inspectors, employed by the Ministry of Housing and Local Government, and medical and nursing inspectors, attached to the Ministry of Health, customarily spend the major portion of their time in the offices in Whitehall, and go only occasionally into the provinces to investigate particular questions. The services which are supervised through a constant system of central inspection are police, fire, education, and highways. Inspectors from the Home Office are concerned with police and fire services, and inspectors from the Ministry of Education and the Ministry of Transport supervise education and highways, respectively. The poor law inspectorate, established in 1834 after the passage of the Poor Law Amendment Act, and functioning until 1948 when the National Assistance Act ended local responsibility for destitution, carried on its work continuously in the districts into which England and Wales were divided.

The size of the inspectorates varies greatly: there are only five inspectors of local constabulary forces, whereas the Ministry of Education employs more than five hundred men and women in inspectoral activities. As one might surmise, complex organizational and management problems are encountered in the education inspectorate, and the structure of this inspectorate will be examined in some detail.

At the top of the educational hierarchy is the senior chief inspector, who is responsible to the Minister through the permanent secretary. Under him serve six chief inspectors. The senior chief and the six chief inspectors deal jointly with matters of educational policy; individually, they are responsible for particular fields of education. There are also divisional staff, general, district, and specialist inspectors. Operating from the London headquarters is a staff of eight medical officers who are concerned with the supervision and inspection of the medical arrangements of local educational authorities.

The senior chief inspector is responsible to the Minister for the organization and effective functioning of the inspectorate. His duties are of two general types, administrative and educational. Perhaps his most important administrative responsibility is to confer with the Minister and the senior administrative officers of the department about the establishment of educational policies. He must keep the inspectors abreast of the administrative developments which affect their work and from time to time he issues letters of instruction, pamphlets, and manuals which guide them in the planning and carrying out of their responsibilities. The senior chief is responsible for the recruitment, placement, and promotion of inspectoral personnel and for the assignment of

duties to individual inspectors.

His educational duties are of equal importance. He must make certain that the conduct of inspections in the various divisions is adequate and reasonably uniform. He must also insure that the rank and file of the inspectorate are kept informed concerning developments in educational thought and practice in the

United Kingdom and elsewhere.

Each of the six chief inspectors is concerned with one of the following fields: primary education, secondary education, further education in connection with industry and commerce, all other further education, training of teachers, and educational developments. A chief inspector is responsible for the direction and supervision of all inspectional activity in his particular branch of the educational system. He must maintain a familiarity with the work of the inspectors and is expected to guide them in their efforts to improve the effectiveness of the schools under their supervision; he seeks to facilitate close cooperation between the offi-, cers of the department in London and the inspectors in the field.

Chief inspectors are responsible for initiating and conducting experiments in the entire field of education. They attempt to evaluate for the Minister and his aides the impact of legislation upon the educational system, trends in educational thought, and the ramifications of policy changes favored by the inspectorate. Conferences of the chief inspectors and inspectors in charge of the ten geographical divisions are convened at frequent intervals for the discussion of policies and problems of mutual concern. And each of the ten divisions holds an annual conference of all inspectors

serving within its area.

In charge of each of the ten geographical divisions is a divisional inspector who is responsible to the senior chief inspector and who exercises general supervision over the work of the various inspectors assigned to his area. The divisional inspector must know the capabilities, deficiencies, and special interests of the district inspectors; he must visit them in their districts at reasonably frequent intervals and acquaint himself with the practical problems confronting them. While he permits the district inspector to manage his district in his own

way, he must be satisfied that the inspector conducts his work in accordance with the general policies and practices of the Ministry.

There are also staff inspectors who are interested primarily in a particular subject, phase, or aspect of education. One or more staff inspectors have been assigned special responsibilities on a national basis for more than thirty topics, embracing such diverse subjects as primary education, youth service, county colleges, adult education, art, chemistry, handicraft, and physical education. A staff inspector is expected to keep himself informed about developments in the theory and practice of his "subject" and to coordinate it properly with other 'subjects." He must therefore find time for extensive reading and adequate research and study. In most instances, as chairman of a panel of inspectors, the staff inspector collects and interprets information obtained from the inspectors concerning the functioning of the schools and the special problems of the subject matter. On occasion he assembles the findings of the panel members and prepares in draft form pamphlets for submission to the Ministry. The coordination of the short courses offered by the Ministry is also his responsibility.

Inspectors living in the field and working within the divisions are allocated specific responsibilities and may be directed to act in any or all the following capacities: (1) general inspector; (2) district inspector; (3) divisional specialist inspector; and (4) divisional adviser. The program of each inspector is arranged to keep him in direct touch with the schools, teachers, and pupils in more than one field of education, and narrow specialization is avoided

as far as possible.

A general inspector is responsible for the inspection of certain assigned schools. He maintains continuous contact with these schools and attempts to assess each school as to aims, balance of curriculum, and efficiency. Of necessity, he must secure appropriate assistance from his colleagues who have special knowledge of aspects of education or of subjects in which he himself is not expert.

The district inspector maintains liaison between the Ministry of Education and one or more local authorities—counties and county boroughs, excepted districts, and divisional executives. He is responsible for all administrative contacts with the local authority. Communications from the central office to the local authorities relating to administrative matters customarily come to the district inspector, who must be aware of all negotiations between the Ministry and the local government. He is expected to secure for the authority expert advice on any educational topic and to coordinate the contributions of all inspectors concerned.

Within each division are divisional specialists who are responsible for supervision over their subjects at all stages of the educational process. These special subjects or aspects of education are, for the most part, very different from those dealt with by the inspectors assigned to special duties on a national basis.

There are also divisional advisers who advise the divisional inspectors and other colleagues on matters connected with their subjects. While the functions of advisers are in some respects similar to those of the specialist inspectors, they are not specifically related to supervisory work outside assigned areas.

For Wales a Welsh inspectorate has been established, functioning independently of the English inspectorate and reporting to the Minister through the permanent secretary for the Welsh department.

Ш

INSPECTORS employed by the central departments tend to be older than other civil servants, generally owing to the requirements of their work. In a large number of instances, particularly in the police and education inspectorates, appointments are made from among persons possessing extensive experience in local government service. Appointees to the educational inspectorate serve a two-year probationary period prior to being given permanent status. Only in the Ministry of Education do inspectors undergo in-service training, which for the most part is accomplished informally. Members of the inspectorates do not belong to unions of public service employees. There is, however, an inspectors' association to which education inspectors belong, a body which represents them on the "staff" side in negotiations with the Ministry.

The administrative procedures and tech-

niques employed by the various inspectorates in the conduct of inspections vary widely. Inspectors of constabulary, one in each of four geographical divisions into which England and Wales have been divided, visit the county and county borough forces at least once each year and, when necessary, at more frequent intervals. From the Home Office, each chief constable receives a form to be used in summarizing important factual information about the organization, strength, and distribution of the force and equipment, discipline, condition of the physical plant, and other matters. The local authorities prepare this information in advance and it is of invaluable assistance to the inspector during his inspection. Upon arrival at the local police headquarters the inspector formally reviews the force on parade, usually during the first day of the inspection period. He then examines not only the administrative offices, crime detection laboratories, patrolmen's quarters, machine shops, and other headquarters premises, but also attempts to visit the various outlying stations. He examines the books and records which the police maintain; he may talk individually with constables and question them concerning specific actions they have taken during the preceding year.

Police inspectors also hold local inquiries concerning the dismissal or reduction in rank of local personnel and other matters relating to the efficiency of local constabularies. They play a role in the training of local police personnel, for they make frequent visits to the police training centers where police recruits are given basic instruction; they also advise and assist the commandant and the staff of the police college, which was established by the Home Office in 1948 for the purpose of offering advanced instruction.²

Home Office inspection of local fire brigades is much like the inspection of police forces. The fire service inspectors visit each brigade at least once a year. They are concerned with the adequacy of local training facilities and advise and assist with the operation of the fire service college maintained by the central government. An effort is made to induce local au-

³ Report of His Majesty's Inspectors of Constabulary for the Year Ended 30th September, 1950 (H. M. Stationery Office, 1951), pp. 11-14.

thorities to enter into reinforcement schemes that provide for mutual assistance in the extinction of fires in their respective areas.

The responsibility of the Ministry of Health for advising and assisting the local health authorities has been substantially reduced as a result of the passage of the National Health Service Act in 1946. The councils of the 145 counties and county boroughs which are now local health authorities exercise relatively limited functions, the major responsibility for the health of the people of England and Wales residing with the National Health Service. Inspectional activities are conducted by medical officers, nursing officers, and an inspector of blind welfare activities. Prior to the passage of the Health Service Act the Ministry maintained a relatively large staff of medical officers who were interested primarily in conducting investigations of local outbreaks of various diseases. Considerable time was devoted to the making of special studies of local health conditions and the conduct of nationwide surveys.

The Ministry of Housing and Local Government employs engineering inspectors, housing inspectors, and planning inspectors. During the 1920's and 1930's the engineering inspectors advised and assisted the local authorities throughout England and Wales in their efforts to construct urgently needed water and sewage disposal facilities and erect a variety of public buildings and other structures. With the passage of the Water Act, 1945, local authorities were encouraged to submit schemes for the extension and improvement of their water supplies and, when necessary, the Minister ordered an inquiry conducted by the engineering inspectorate. In recent years the engineering inspectors have undertaken a number of water surveys for areas in which problems of water insufficiency and purity required particular and detailed consideration.

The housing inspectorate attached to the central Ministry works with the local authorities in the preparation of their housing schemes. Visits are paid to the local areas and conferences are held on a variety of administrative and technical problems. The Minstry's planning inspectorate conducts local inquiries and helps the local planning authorities to win approval of their schemes.

IV

THE work of the education inspectorate is of particular interest. The many and varied tasks performed by Her Majesty's education inspectors may be conveniently grouped under three headings or classifications.3 First, the inspectors serve as the "eyes and ears" of the Ministry. Their relationship with the schools and teacher training institutions is generally intimate, since the areas to which they are assigned are usually sufficiently small to permit a thorough grasp of educational developments and problems. They are expected to know their schools, for success in all aspects of their work depends upon such knowledge. Information about new methods of instruction, developments in curriculum, the use of teaching aids, the employment of different types of equipment, and changes in the physical plant are collected and made available to the inspectorate and the administrative staff in London.

The second function of inspectors is to serve as "educational missionaries." In education, the state has long regarded local, voluntary effort as an essential element in the implementation of national policy. The principles and standards of national policy are formulated centrally, but it is in the localities that the schools are built and operated to meet local needs. The members of the inspectorate constitute a link which connects and harmonizes the work of the central and local bodies. During the course of daily contact and routine visits inspectors acquire many new ideas concerning the art of teaching which they may pass on to teachers as suggestions. An inspector should never undertake, however, to tell a teacher what to do or how to do it.

Since the war the number of short courses offered by the Ministry for teachers and others engaged in the educational service has been substantially increased. The purpose of the national courses is to provide a means of facilitating an exchange of experience between leading practitioners; the regional courses are focused upon the general needs of all teachers in a particular area. Responsibility for the organization and conduct of the large majority of the short courses falls to the inspectorate.

^{*}Education in 1949 (H. M. Stationery Office, 1950), pp. 90-94.

The inspectorate also employs panels to disseminate information. Panels number several score and are of two types, the first dealing primarily with broad phases of primary and secondary education, and the second with specific subject-matter fields such as art, drama, history, and modern languages. Panels are composed of inspectors exclusively, and meet several times each year to study existing conditions and initiate means of securing future progress and development. The experience and wisdom of the inspectors is thus synthesized and focused for educational advance.

Third, inspectors are "watchdogs of finance." As early as 1839, with the appointment of the first two inspectors of schools, a new principle of educational administration emerged—the right of the state to approve and superintend the manner in which its money is spent through

the inspection of schools.

The inspection of schools takes two main forms: routine inspections which are undertaken on a day-to-day basis and are not followed by a report, and full inspections which are conducted by a group or panel of inspectors who submit their findings in a formal report to the Minister. A general inspector usually performs the routine inspections. His approval of a school is conditioned upon healthful and useful employment of pupils and staff and the adequate maintenance of physical plant. Encouragement of the teachers and suggestions for the improvement of the quality of the education are his special province.

Full inspections of a formal nature, conducted by panels of inspectors, are made at intervals of from seven to ten years, those of primary schools being somewhat more frequent than those of secondary schools. As an example, for a full inspection of a grammar school in which 350 boys are enrolled, a panel of five inspectors is constituted. During its visit to the school, which usually lasts four or five days, the panel attempts to gain a general understanding of the school's goals, material conditions, organization, activities, and quality of education. Each panel member is responsible for the investigation and inspection in the classroom of one or more subject-matter fields. The inspector considers whether the instruction is sufficiently planned and properly executed and whether it is in accord with the standards and general policy of the Ministry. Invariably, the inspector stresses the positive aspects of his findings and is eager to offer constructive criticism.

An inspector's report is designed to give an accurate, unbiased evaluation of a school in its entirety to the Ministry and to the local authority concerned. Also, by means of the encouragement, stimulation, and advice which it offers in a spirit of sympathetic cooperation, it contributes substantially to local educational progress. A report does not lead to direct action on the part of the Ministry, but after a reasonable period has elapsed the appropriate inspectors may visit the school to ascertain whether corrective action has been taken to remedy observed deficiencies. Or the Ministry may correspond with the local authority concerning specific problems which were treated in the full inspection report.

Central departments in controlling and supervising the work of the local governments seek to avoid the imposition of excessively rigid requirements which would inevitably lead to local stagnation and apathy. Ideally the officials in Whitehall attempt to secure the adoption of reasonably adequate standards of service and at the same time to permit the more alert local authorities opportunity to pioneer and experiment. The attainment of this objective appears to have been realized in most instances. There are always, however, local officials who assert that their initiative and enter-

prise are unduly circumscribed.

Local authorities sometimes employ on their staffs officers who are responsible for the inspection of a particular service within their areas. Such local inspection is confined for the most part to the field of education. The county of Kent, for example, has appointed a number of full-time education inspectors. In many other authorities persons designated as administrative officers, organizers, supervisors, and visitors perform inspectoral work on a part- or full-time basis. The absence of precise definition makes it difficult to determine exactly the number of persons engaged in local inspection work.

The work of the inspectors employed by local education authorities appears for the most part to complement rather than to parallel that of the Ministry's inspectors. Local inspectors are utilized as intelligence officers and as links between the authority and the schools. They are occupied chiefly with the collection of specific information, the carrying out of inquiries, and the investigation of particular complaints.

WHAT, it is now pertinent to ask, have been the positive results of the efforts of the several inspectorates to advise and assist the local authorities in England and Wales in coping with their multitudinous and complex problems? It is impossible to answer this question in precise terms, for inspection has been but one of the administrative devices employed by the central government in exercising control over local authorities. The striking improvements which have been registered in the nation's health, education, police protection, and other services during the past century have stemmed, in part, from other sources. One could arrive at a more accurate statement of facts by following a twofold approach: (1) a determination of the extent to which the various services have been strengthened and improved in successive stages of their development, and (2) the isolation and evaluation of the contributing factors.

In the field of public health, phenomenal advances have been achieved. The general death rate, the infant mortality rate, and mortality rates for specific diseases such as tuberculosis and smallpox have steadily declined.4 While the decrease in mortality rates indicates substantial improvement in the nation's health, the gain is actually much greater than these rates indicate, for the amount of sickness pre-

vented can hardly be estimated.

Progress in the other local services has likewise been significant. Improvement in the educational system is reflected in readily available indexes, such as number of students enrolled. number of teachers employed, pupil-teacher ratio, extent of the provision for teacher training, and sums of money expended locally and

*For detailed data concerning the causes of death for selected diseases for the years 1851 to 1948, see nationally.5 Advances in local police and fire services since the system of central supervision was inaugurated are reflected in the marked increase of force strength in relation to population served and in the increasingly high quality of the services rendered.

It is difficult to evaluate the various causes of this phenomenal improvement in local services. Without the exercise of central government supervision it is extremely doubtful, however, whether the local authorities would have developed their programs to the extent that was necessary to round out a comprehensive and adequate national system of local services. While the trend of events contributed to the nation's realization of the value and necessity for adequate local services, substantial improvement awaited the compulsion of legislation. Local progress and improvement would have occurred undoubtedly in the more economically prosperous areas, but grave deficiencies would have continued, particularly in the poorer districts and in those which lagged in public enlightenment.

In the exercise of supervision and control over the activities of local authorities, the central ministries have used a number of administrative devices. While each of these has been exceedingly useful, some have been clearly more significant than others. Thus in education, the issuance of rules and regulations, the receipt of reports, the extension of subventions, and, finally, inspection have been most important. Inspection supplies the positive and dynamic elements of the system of central supervision and control and makes possible the implementation of the other devices. That the success of central government control over local authorities is dependent upon the effectiveness with which the inspectorates discharge their responsibilities is confirmed without hesitation by those who are familiar with the in-

spectors' work.

What are the elements necessary to the establishment and maintenance of a successful system of central government inspection? In large measure the effectiveness of central government inspection in England and Wales is dependent upon the following factors: (1) a sufficient number of inspectors; (a) requisite

(H. M. Stationery Office, 1953), pp. 25-59.

Report of the Ministry of Health for the Year Ended 31st March, 1949 (H. M. Stationery Office, 1950), p. 24: Report of the Ministry of Health Covering the Period from 1st April, 1950, to 31st December, 1951, Part III

^{*} Education in 1932 (H. M. Stationery Office, 1953), pp. 67-180.

skills and competence on the part of the individual inspectors; (3) effective organization and able direction of the inspectorate; (4) inspections that are sufficiently frequent and thorough; (5) freedom for the inspectors and their administrative superiors to interpret the scope and nature of their duties; (6) legal authority to secure information from the local governments; (7) the imagination of the central departments in using other supervisory devices; (8) the newness of the inspectional system and the extent to which it is accepted by the local authorities; (9) the diversity and complexity of the local government activity subject to central supervision; (10) and finally, the degree of independence possessed by the local authorities being inspected.

What of the future of inspection in Britain? Since 1940 the use of this administrative device has undergone significant changes. With the passage of the Education Act, 1944, the educational inspectorate was reorganized and greatly strengthened, and new responsibilities assigned to it in connection with the implementation of the new legislation. The National Health Service Act, approved by Parliament in 1946, shifted many of the responsibilities of the local health authorities to the central government and effected a consequent diminution in scope and range of the activities of the Ministry's medical officers. In 1947, the inspection of local fire services was authorized. The National Assistance Act, 1948, reduced the extent of the central government's inspectional activity, for with the abolition of the poor law and the transfer of responsibility for the relief of destitution to the National Assistance Board, the need for the poor law inspectorate ceased. The number of inspectors of constabulary employed by the Home Office has been increased since 1945 and the scope of their duties ex-

panded.

Careful study and analysis of recent changes leads to the conclusion that in the emerging pattern of central-local government relationships at least two trends may be discerned: (1) the assumption by the national government of responsibility for services formerly discharged by local authorities lessens the scope of local activity and renders central inspection unnecessary; (2) those local services which are not nationalized are likely to be subjected to increased central control and supervision, with the result that greater use will be made of inspection as an administrative device. While it is impossible to predict the future actions of Parliament, it seems unlikely that the central government will assume direct responsibility for many additional local functions. The nationalization of the educational system, law enforcement, fire services, and road construction and maintenance would constitute a death blow to local government. Parliament appears, rather, to prefer to assign local government responsibilities to the larger units of government, the counties and county boroughs, and to insure through central supervision that their services are rendered efficiently.

Miami Looks at the Problems of Metropolitan Government

By WENDELL G. SCHAEFFER

Headquarters Supervisor
Public Administration Service

NCE again a significant effort is being made to resolve the problems of governmental organization in a large metropolitan community. There is nothing novel about people concerning themselves with the many difficulties posed by rapid urban expansion. In the United States and throughout much of the rest of the world the steady and unrelenting tide of social and economic urbanization has forced each succeeding generation to seek new or expanded forms of governmental organization to cope with the problems which this process presents. In some communities, of which Miami, Florida, is an outstanding example, the pace of change has been so rapid and the growth of population so spectacular that even the most strenuous efforts directed toward governmental accommodation are apt to appear frustratingly inadequate. When these efforts have repeatedly encountered defeat, as they have in the Miami area three times within the past ten years, a genuine risk arises that future proposals may involve such wide detours to avoid the conventional processes of local democracy that the whole structure of local self-government may be weakened rather than strengthened.

The current improvement program in Dade County has been organized to avoid any possibility of hasty resort to schemes or devices whose general suitability and merit have received less than comprehensive consideration. The program has been openly and publicly sponsored by the city of Miami through creation of a Metropolitan Miami Municipal Board of twenty members representing all

major local government jurisdictions.1 The board, provided with funds by the Miami City Commission, was directed to "(1) make a thorough study of governments in Dade County; (2) determine what consolidation, merger, federation, or reorganization of governments was desirable in order to effect economies, improve efficiency, and facilitate the solution of metropolitan problems; and (3) draft and publish a plan of governmental improvement and necessary implementing legislation." To assure a disinterested appraisal of Metropolitan Miami's governmental problems, a contract was negotiated in March, 1954, with the University of Miami whereby the university's Department of Government was to supervise the fact-finding survey and formulate recommendations to the board through employment of "a nationally recognized consulting organization." Public Administration Service of Chicago was chosen to undertake the research project, and the process of study and plan development was inaugurated during the spring of 1954. By January 1, 1955, field work on the project had been completed and a report had been prepared, published, and submitted to the board.3

The study of metropolitan Miami's governmental problems necessarily involved a detailed review of the history, legal status, organization, and scope of operations of each of the twenty-six municipal governments in Dade

*The Government of Metropolitan Miami (Public Administration Service, 1954), 194 pp. \$5.00.

² The Board of County Commissioners did not see fit to name a representative to the board, although it was entitled to do so. The county officials have, however, cooperated with the Metropolitan Board in its activities.

County as well as of the county government and its agencies and instrumentalities. The tax pattern, revenue structure, and general financial position of each governmental entity were determined and analyzed. Every functional and service area was reviewed to determine which governments were doing what and how well their activities complemented each other, duplicated services, or left important voids in the pattern of public services or in the very significant area of coordination. Finally, it was necessary to consider a wide range of possible alternatives which might be recommended to resolve the many real problems which the fact-finding phases of the survey brought to light.

Early in the course of the project it became clear that the governmental problems of the metropolitan Miami area were serious. Sixty years ago the Miami region could hardly be described as metropolitan at all. The city of Miami was incorporated in 1896 with an area of 4.5 square miles and 502 voters. Today it is the center of a very remarkable urban area possessing a permanant population of around 650,000 and visited each year by better than 3 million tourists and other travelers and temporary residents. The extremely rapid urban growth has come about through the efforts of farsighted and ingenious promoters, engineers, land speculators, and other breeds of irrepressible optimists who have exploited to the full the fine climate and scenic attractiveness of southeast Florida, the only genuinely semitropical area of the continental United States. Overspeculation and a very destructive hurricane joined forces in 1926 to puncture the development bubble, but soon the same optimistic forces were driving forward again on a sounder footing. Tourism has proved a remarkably stable economic base for the Miami area, and to it has been added the steadily increasing trade and transport activity for which Miami has become a focal point in United States relations with South America and the Caribbean. The tempo of metropolitan growth continues unabated, and there is strong prospect that by 1970 the Miami area will possess a permanent population of between one and one-half and two million people. In such a rapidly changing environment, it is only natural that the provision of governmental services

should pose many difficult and complex problems.

Governmental units have come into existence in Dade County for almost every conceivable reason, including the effort to prevent incorporation into already existing municipal corporations. The largest municipality is Miami with an estimated population of 275,-000; the smallest is Indian Creek Village with a population of 50. More significant, however, is the great urban growth in the unincorporated area of the county where population is increasing both percentagewise and numerically faster than in Miami. Here the demand and the genuine need for municipal services is great, but the traditional county structure is ill suited to provide them. There has been a tendency for the county to assume urban-type municipal functions, but at the same time the older municipal units have been increasingly called upon to carry their services out beyond the municipal boundary lines. The old question of people receiving services they don't pay for and others paying for services they don't get is raised again and again.

Far more important, however, than the question of who pays for what is the very real need for metropolitanwide services that no existing jurisdiction in Dade County is in position to provide. The need for some control over the pattern of urban growth and development is everywhere apparent, for the rapidity and magnitude of new construction have far outstripped the necessarily slower pace of public service expansion. The most pressing need is for governmental action on an areawide basis to provide such fundamental services as an adequate water system, an integrated sewerage and waste disposal system, a network of major thoroughfares and expressways, and the kind of metropolitan planning that can guide and direct the development of these services in an orderly manner, with a view not only to the immediate but to the long-range demands of the entire metropolitan area. In Miami, because of the extremely rapid pace of its growth, long range means tomorrow morning, early.

The proposals developed by Public Administration Service for providing metropolitan Miami with a governmental organization capable of meeting the community's many needs approach directly the fundamental structure of

local government in Florida. They do not accept the view, so frequently expressed, that desirable improvements can come about only through a series of compromises with timehonored but outmoded local governmental arrangements. They are founded upon the premise that a community of 650,000 people is perfectly capable of conducting its governmental affairs through normal governmental channels, provided those channels are clear, direct, and unimpeded by a confusing maze of irrational relationships, unresponsive and autonomous officials and agencies, and voids of authority and responsibility. Recommendations set forth a plan designed to create a local government structure of metropolitanwide jurisdiction that is representative of the community, that possesses organizational unity, and that is adequately endowed with independent legislative authority derived from a well-formulated, home-rule charter approved by the voters of the area. To the metropolitan government would be assigned the functions and programs of areawide import. At the same time, existing municipal governments, each of which came into being through a democratic expression of a desire for local self-government, would continue to function in the provision of local services and the exercise of discretion relating to the matters affecting their own residents primarily.

Thus the proposed government structure is designed essentially to strengthen the local government processes by filling the void that now exists in the sphere of metropolitanwide action and by bringing within the scope of the new government those functions—some municipal, some general within the framework of the state constitutional system—now performed by a variety of county offices and officials.

The survey led to the conclusion that the existing county was neither suitably organized nor suitably clothed with self-governing authority to function in the role that is called for. However, there being no need for a county government separate and apart from that of the proposed metropolitan government, it was recommended that the functions, authority, duties, and responsibilities under the state constitution and state laws now assigned to the Board of County Commissioners and other county agencies and officials, both elective and

appointive, be transferred to and vested in the new metropolitan Miami government, together with such other authority and functions as may be assigned it by charter.

To clarify the relationships between existing municipal governments and the proposed metropolitan government, Public Administration Service presented in its report a detailed proposal for distributing functions and authority between the two local government levels.

As for the structure of the metropolitan government, it was proposed that legislative authority be vested in a board of metropolitan commissioners that would consist initially of a president and ten members. The president would be elected at large by the voters of metropolitan Miami, eight of the ten members would be elected at large from eight commissioner districts of reasonably uniform population into which the entire metropolitan area would be divided without reference to city boundaries, and two of the members would be chosen from those municipalities (at present Miami and Miami Beach) containing in excess of eight per cent of the total metropolitan population. By this formula the element of federation is introduced in that the larger municipal jurisdictions would be represented in the metropolitan legislative body. As the population of any other municipality reached eight percent of the total metropolitan population, through growth, merger, or annexation, it would become entitled to a representative on the board of metropolitan commissioners.

It was proposed that the direction of the administrative activities of the metropolitan government be entrusted to a chief executive or administrative officer appointed by the board of metropolitan commissioners and serving at its pleasure. All staff and operating departments of the government would be responsible to this official.

To bring about the changes proposed in the survey report, amendment of the Florida Constitution is essential. A proposed amendment was submitted as part of the recommendations. Perhaps the best way to convey the import of the proposed changes in the governmental structure of metropolitan Miami is to quote in full the proposed amendment.

The electorate of Dade County shall have power to establish, alter, or abolish a municipal corporation to be known as Metropolitan Miami, extending territorially throughout the present limits of Dade County, in the place of any or all county or district governments, boards, bodies, and officers, constitutional or statutory, legislative, executive, judicial, or administrative. Said municipality shall operate under a charter ratified by a majority vote of the electorate of Dade County which shall provide for the jurisdiction, powers, duties, and functions for such municipal corporation, its legislative, executive, judicial, and administrative departments and its boards, bodies, and officers, and for the division of functions which shall exist between said municipal corporation and municipalities created pursuant to state law. The municipal corporation established under this section may exercise all of the powers of a municipality created pursuant to state law and shall also be recognized as one of the legal political divisions of the state with the duties and obligations of a county and shall be entitled to all the powers, rights, and privileges, including representation in the state legislature, which would accrue to it if it were a county. In the establishment or alteration of the government of Metropolitan Miami no county office shall be abolished or consolidated with another office without making provision for the performance of all state duties now or hereafter prescribed by law to be performed by such county officer. All property of Dade County shall vest in the government of Metropolitan Miami when it is established as herein provided, and provision shall be made in its charter for the fair and just compensation of other local governments, or bond holders or creditors thereof, for properties acquired in the exercise of powers, duties, or functions authorized by said charter. The charter of the government of Metropolitan Miami, as ratified or amended by a majority vote of the electorate, shall have the force and effect of law and it may not be altered, amended, or modified, or otherwise contravened by special act of the legislature.

The survey and the report have received wide publicity in the Miami area. Before final

presentation, the factual findings of the report—but not the recommendations—were reviewed by committees of the Metropolitan Miami Municipal Board, and public hearings were held with respect to these findings. When the final report was presented, it received wide newspaper and television coverage, and the major newspapers of the area continue to devote much space to the discussion of various aspects of the report.

After detailed review of the findings and recommendations of the survey group, the Metropolitan Miami Municipal Board, on January 14, voted unanimously to approve the report as submitted and recommended that appropriate action be taken to put the recommendations into effect without undue delay. This means essentially that necessary enabling legislation must be presented to the Florida Legislature in its 1955 session-legislation which will make possible submission of a constitutional amendment to the voters of the state. At the same time, steps must be taken to prepare a charter for the new government so that voters in Dade County will have a specific framework of local government on which to vote, as well as a constitutional amendment permitting them to adopt it.

The most hopeful sign that the reorganization program will be adopted is the favorable reception accorded the proposals at all governmental levels in Dade County. In the past the Florida Legislature and the people of Florida generally have shown great willingness to support programs of governmental improvement for their municipalities, even to the extent of supporting constitutional amendments on behalf of the state's various local subdivisions and government units. A basic condition to such support, however, is that the people of Dade County, or any similar area, be themselves in accord as to what they want.

Can Government Be Human?

By EWELL T. BARTLETT

Assistant Director

Bureau of Old-Age and Survivors Insurance

ANY people in their relations with their government view it with disdain and distrust. Why is this so? We are a democracy and, as such, attempt to emphasize the importance of the individual in bold contrast to a dictatorship, which subordinates the individual and places all emphasis on the whole or the state. Our most cherished doctrines bespeak our interest in the individual. The Declaration of Independence speaks of "unalienable" rights of people as individuals. The first words of the preamble to the Constitution of the United States are, "We, the People." Lincoln in his Gettysburg address calls ours a government "of the people, by the people, for the people."

There was a time in our history when a controlling body of opinion held that the federal government should not operate directly upon the citizenry, except in certain restricted circumstances such as war. In the early years even the federal revenue was derived largely from imports. Now, every citizen is affected by federal taxes, social security, and many other fed-

eral programs.

It is the purpose of this paper to examine two factors, found from experience to be involved in the question of citizen reaction to government, which have had too little attention. First, we operate upon the theory that ours is a government of laws and not of men. Second, we have made too little effort to humanize the application of our laws and make them understood.

I

The first factor—the rigidity of law—has its bearing on citizen reaction when the citizen believes that he should have something or be permitted to do something that the law or the implementing regulation does not allow.

We come across it in the old-age and survivors insurance program, for example, when an individual believes that he ought to have a payment that the law does not authorize, and insists there is some way that employees of the bureau can get it for him even though the law seems clear on the point. Of course, there is little that can or should be done in such cases so far as the law as such is concerned.

However, much can and should be done about the legal result flowing from action or inaction of agents of the government. There is a carryover to the United States of the English doctrine that the sovereign (i.e., the government) can do no wrong-that if there is a wrong, it is the fault not of the government but of the human agent who was attempting to carry on its work. Thus, the government is not bound by the rules of law or equity for the acts of its agents as is an individual or a private corporation, except as by statute it has consented to be so bound. The principle has many ramifications. A number of exceptions have been made to it. But important areas still exist where the individual is called upon to distinguish between the law on the one hand and its human agent on the other, and the result is frequently not understandable, at least to the average citizen.

A good example of the point occurred a few years ago in the case of a Montana wheat farmer who thought he had protected his planting under the crop insurance law administered by the Department of Agriculture. He consulted an agent of the department who told him his planting was insurable and supplied him with proper forms and saw to their execution. Both the agent and the farmer knew that the planting was "reseeding" on winter wheat acreage, but neither thought the fact of any importance and it was not set forth in the

contract. The crop was destroyed by the elements and the farmer sought to collect his insurance, but he was turned down because it was discovered that the department's regulations excluded reseeding on winter acreage. In upholding the disallowance, the majority of the U.S. Supreme Court noted that a private concern would be liable under the circumstances, but went on to say:

. . . Whatever the form in which the Government functions, anyone entering into an arrangement with the Government takes the risk of having accurately ascertained that he who purports to act for the Government stays within the bounds of his authority. The scope of this authority may be explicitly defined by Congress or be limited by delegated legislation, properly exercised through the rule-making power. And this is so even though, as here, the agent himself may have been unaware of the limitations upon his authority. . . . 1

In other words, as the citizen must see it, it is the duty of the person doing business with the government to police the activities of the government's agent, as the government will not accept the responsibility of doing so. A dissenting opinion by Mr. Justice Jackson put his views in these words:

. . one should not be expected to have to employ a lawyer to see whether his own Government is issuing a policy which in case of loss would turn out to be no policy at all. There was no fraud or concealment, and those who represented the Government in taking on the risk apparently no more suspected the existence of a hidden regulation that would render the contract void than did the policyholder. It is very well to say that those who deal with the Government should turn square corners. But there is no reason why the square corners should constitute a one-way street. . . . I . . . would hold these agencies to the same fundamental principles of fair dealing that have been found essential in progressive states to prevent insurance from being an investment in disappointment.2

One does not have to advocate a departure from the principle of a government of laws and not of men in order to believe, as Justice Jackson, that it is time government started interpreting the principle in the light of the times.8 There are, of course, instances of awareness of the growing importance of the problems created by rigid adherence to the principle. In 1946 the Congress through the Tort Claims Act reversed the long established rule that the government is not suable for the tortious wrongs of its agents and employees, and now a private citizen has virtually the same redress against the government as he would have against an individual or a business corporation for negligence of its agents resulting in physical injury and damage to person or property. Previously the only redress was by passage by Congress of a private bill.

The doctrine under consideration not only at times confounds the rights of individuals but also accentuates problems of practical government operation. A practical problem in carrying out the old-age and survivors insurance program, for example, has been how to meet the requirement of a formal application for benefits without adding greatly to the costs of administration or prejudicing the rights of people. (It has been held that filing an application means a written record.) Mostly, eligibility can be readily determined, but the local offices deal with many people at a point of time when it is not possible to tell if eligibility exists. If a formal application is encouraged in all situations, unjustified hopes are often raised. The filing of formal applications in cases of persons not eligible for benefits also results in unnecessary administrative costs; it is better to tell at least the apparently ineligible that their cases will be looked into and that they will be informed of the need for and propriety of a formal application for benefits. Formal applications are retroactive and this protects against loss in most cases; but many things can and do happen to cause the formalization of the application to be delayed beyond the period of retroactivity. (Originally, there was no period of retroactivity for old-age beneficiaries, but over the years Congress has established and extended the period until, under the Social Se-

¹ Federal Crop Insurance Corp. v. Merrill et al. (332 U.S. 384). * Ibid., 387-88.

^{*}That the principle in its practical aspects must be taken as only partly true is pointed out by Alanson W. Willcox, "The Lawyer in the Administration of the Nonregulatory Programs," 13 Public Administration Review 18 (Winter, 1953).

curity amendments of 1954, it is now twelve months.)

Also, in some instances, on the basis of "clear authority" a person is turned away without application only to have that authority reversed by higher administrative or court decision. In these instances, rights are protected within certain limits if there is an application of record (because the application, within certain time and other limits, can be reopened); but there is no such protection of rights if there is no application.

In other instances, the facts so far as known may be responsible for the persons's not filing, and knowledge of the facts may turn out to have been wrong or incomplete. In still other cases, the application may not be filed because of a mistake on the part of the field agent as to fact or law.

In such instances there is loss to the individual and the practical consequences are of the same order as those in the case of the wheat farmer considered above. The individual must take the rap, but he cannot understand why his situation should differ from that of the person who may have hired a lawyer and submitted an application with all formalities, "just in case."

A realistic approach would seem to demand that the government not stand on the technicality of lack of a written record, and the Appeals Council of the Social Security Administration has so decided some cases on their individual merits. There is no evidence to date of abuse in such cases, and experience in general would seem to show that there is no need for strict formality and legalism.

It is true, of course, that the less the formality the greater the need for diligence and honesty on the part of the government's agents and possibly the greater the need for supervisory controls that will assure them. But if there is abuse of authority by the agent, the matter can and should be cared for by administrative discipline and—in case of outright fraud—by treatment under the criminal laws.

How far the government can go in underwriting the acts of its "agents" and not whittle too much away from the principle of a government of laws and not of men, is admittedly a delicate question. However, careful concessions (by statute if necessary) in the direction of what is accepted as fair play and equity among individuals will make for better understanding and acceptance and, it is believed, effectiveness in many of the government's programs.

11

Important as it is, rigidity in law and precedent is no excuse for the impersonal way that the government is prone to carry on its many day-to-day dealings with the public. To this day, the salutation in the letters of some agencies takes the form of the stilted, obsolete "Sir" or "Madam." How much more personal and acceptable is "Dear Mr. ——" or "Dear Mrs. ——." Some agencies will rarely use the personal pronouns "I" or "we," but instead will use such abstract expression as "this office" or "this bureau."

Policy, or lack of it, in these matters of treating people as individual human beings differs greatly among the agencies of the government. Some have made great progress in personalizing the administration of their programs-in taking the programs to the people, so to speak. For example, the Internal Revenue Service within recent times has let it be known that taxpayers may get official help in making their returns and that questions may even be answered over the telephone. In the Bureau of Old-Age and Survivors Insurance the approach has always been to give direct help, if possible. The effort is mainly through over 500 field offices located in the principal cities of the country. The claimant is encouraged to come in and do his business personally. If this is not possible, a representative of the bureau, within broad limits of reason, will call upon him in his own office or home. The local office, moreover, has responsibility for an initial adjudication of the claim. The result is service to the individual and also greater efficiency, because the procedure creates better understanding and a prompter and fuller development of the factual information which is necessary for allowance or disallowance of the claim.

Closely akin to personalization is "public information." In essence public information is little more, or at least should be little more, than providing the public with the information needed for an understanding of the agency's policy and program. The acid test of the conduct of the public information function

is whether information that cannot be given is refused without offense and information that hurts, but that must be supplied, is given without offense. It is cheap, temporal public relations to accede because at the moment that appears to be an easy way out. Understanding takes longer but is worth more.

In providing public information it is necessary to draw a sharp line between information and propaganda. It is also important to pro-

vide accurate information.

Much has been said in recent times about the right of the people to know about the activities of their government. Whatever may be said of this right in general, there can be no argument about the citizen's right to understand in his own terms a government program that affects him personally. Such an understanding can be brought about not by Washington handouts, though they may help, but by dealing directly with people as individuals.

In information activities it is also possible and desirable to put the accent on the personal approach. Once again, an example is taken from the administration of old-age and survivors insurance. In this bureau it is a matter of policy and practice that all pamphlets, leaflets, posters, etc., explaining the program be as far as possible directed to the second person. Thus, Your Social Security; Do You Have a Maid?; Do You Work for Yourself? are characteristic titles.

Not only should informational activities have a personal accent; they should be actually directed to the individual whenever possible. Thus, by means of enclosures with benefit checks the more than six million beneficiaries are given instructions or information about their benefit rights. This means was used in 1952 and again in 1954 to tell beneficiaries in advance of the effective date about liberalizations in the payments provided by congressional enactments. In 1950, a postcard with such information was addressed to each beneficiary.

This direct approach is to be preferred whenever it is possible to use it. More generalized releases through newspapers, magazines, radio, television, and other mediums are helpful, but they are less effective than the individual approach. A realistic test that should be applied to any letter, pamphlet, poster, or other information medium that is being used is whether it has been prepared with more thought of reviewing officials, or perhaps of a congressional committee, than of the recipient.

Progressive business has long recognized that the most effective public relations is contact with individuals. One well-known example is cited. Telephone operators of the great American Telephone and Telegraph Company are never failing in their courtesy to telephone users. Courtesy can be assumed to be a big item of training and a strict on-the-job requirement. But it may be said that the telephone company's business is dealing with people, whereas the government's business is not always quite so. But in hundreds of ways the government every day in some way deals with individuals, too. Almost every activity of some agencies, such as the Internal Revenue Service and the Veterans Administration, involves contacts with individuals.

Ш

Can government be human? It can be, and it must be. It has gone a long way in this direction already, but further progress is still needed. Whether a particular office is held by a Democrat or a Republican, whether it deals with a few people or with many, we should recognize that there are people at both ends of its operations.

Humanics must keep pace with mechanics. There is no doubt that this principle should be applied in government. The question is, how? Some of the methods, of course, are suggested by the kinds of incidents and policies we have cited. Increase the number of these incidents, the scope of these policies, and your government is more human.

But perhaps we could do it more efficiently: perhaps the many current studies of the organization or mechanics of a government of, by, and for the people should be paralleled by

a specific study of its humanics.

The New Federal Incentive Awards Program

By HENRY A. SAWCHUK

Chief, Natural Science, Engineering, and Legal Section, Standards Division, U. S. Civil Service Commission

Awards Act (Title III of Public Law 763, 83d Congress) is a firm expression of the intent of the President and the Congress that there be established a governmentwide incentive awards program which will effectively encourage all civilian employees of the federal government to participate in the common task of improving the efficiency and economy of government operations. President Eisenhower in a memorandum on December 28, 1954, asked the heads of all agencies to give personal leadership to the incentive awards program in their agencies.

The new program, which went into effect on November 30, 1954, establishes a single system of awards for suggestions, inventions, and superior accomplishments in place of several different systems of limited coverage. It also centralizes responsibility for administration of the system in the U. S. Civil Service Commission.

 Before the enactment of Public Law 763, incentive awards programs in the government were based upon a number of separate statutes. This situation resulted in some confusion, since control responsibilities were divided at the executive level. The Civil Service Commission, the Bureau of the Budget, and certain individual departments had responsibility for different types of awards.

Under the new legislation the Civil Service Commission is made responsible for administering the governmentwide program. The commission has established an Incentive Awards Office that reports to the executive director and has issued regulations and instructions needed to implement the law. The regulations are broad, giving departments and agencies wide latitude to set up incentive awards plans to

accomplish the intent of the legislation. The commission's policy includes:

 Establishing broad principles and standards for the administration of the incentive awards program.

b. Delegating to the heads of departments authority to establish and operate incentive awards plans consistent with these principles and standards.

 Assisting department officials in the development of effective programs.

d. Encouraging the exchange of employee contributions among departments.

 Reviewing the operation of agency plans in order to strengthen the governmentwide incentive awards program.

 Previously, an employee could be eligible for an award under one law and ineligible under another, or he could be eligible under several laws, depending upon whether he was a blue-collar, postal, or regular salaried employee.

The new program covers all civilian officers and employees in the executive branch of the government, except employees of the Tennessee Valley Authority. Many legislative and judicial employees are also included, as well as employees of the District of Columbia.

3. Under the old system, salary increases could be granted to salaried employees for superior accomplishment or outstanding efficiency. In addition, honor awards and cash awards for adopted suggestions could be given to any employee of the government—salaried employees as well as those paid on a wage rate basis. The amount of the cash award could vary considerably depending upon the law under which it was granted.

The new system provides for two basic types

of awards-cash awards and honor awards. Under appropriate circumstances both types may be granted for a particular contribution. Salary increases, as awards for meritorious achievements, have been eliminated. Cash payments have been substituted for salary increases. Thus, the size of the award is determined by the actual worth of the contribution, rather than the rank or grade of the employee.

4. Formerly there were specific limitations governing the consideration of meritorious contributions. For example, the old law did not permit an award for a suggestion relating to the employee's job responsibilities. Also, awards for superior accomplishment authorized by the Classification Act of 1949 could not be given to blue-collar or postal workers.

Under the new program an employee's contribution need not be in the form of a suggestion. The contribution may be of the "idea," "invention," or "superior performance" type. It may be either outside or within the employee's job responsibilities, but if it is within the job responsibilities it must be so superior as to warrant special recognition. An employee may receive an award for an idea or an invention that results in improved operations. The fact that the idea is not new or original does not necessarily mean that the employee may not receive an award; the test is whether it will improve operations if adopted. An employee may receive an award for outstanding performance of his assignments or for sustained above-average performance. He may also receive an award for handling an emergency situation connected with his work in an exemplary or courageous manner, or for creative efforts that make important contributions to science or research.

5. Under the old legislation most agencies could not pay more than \$1,000 for a single suggestion regardless of its value, and most agencies could not exceed \$25,000 a year in total amount of awards granted.

Ceilings have been raised on the amount of an individual award and limitations on the total sum which may be expended by a department have been removed. Departments may now grant to individuals awards up to \$5,000, and, with approval of the Civil Service Commission, up to \$25,000.

6. Previously, because various conditions

had to be met and because clearcut guides were not available for certain types of contributions, it was extremely difficult to determine uniformly or equitably whether monetary awards were warranted for some contributions, and if so, what the amount of the award should be.

Under the new scale of awards applying to all employees, cash awards may be made both for tangible savings and for intangible benefits resulting from suggestions, inventions, scientific achievements, or exceptional performance. For a money-saving contribution, the award is usually based on the estimated savings in the first year of operation following its adoption, but in some cases the award may be based upon savings over a longer period. For a contribution that has intangible benefits, the commission's regulations provide that the amount of the cash award shall be based on its value to government operations after full consideration of such factors as the extent of its application, its significance, and the importance of the program affected. Each agency is required to draw up guidelines that consider these factors to serve as the basis for awards for contributions with intangible benefits.

7. There was no provision under previous legislation for rewarding an employee for a contribution of value to departments of the government other than the one in which he

was employed.

The new law makes it possible for an employee to receive an award which is based on the extent to which the government as a whole is benefited. If a monetary award is involved, each department concerned pays a proportionate share of the total sum from its regular funds or appropriations.

8. Previously there was no provision for suitable high-level recognition for truly out-

standing contributions.

In especially meritorious cases an award may now be made by the President of the United States. Such a presidential award may be in addition to a departmental or interdepartmental award.

Officials of the U.S. Civil Service Commission have consulted with representatives of the various federal departments during the development of the regulations and instructions. Also, since each agency is responsible for

awards to its own employees, agency management officials have been briefed on the new program and given assistance in establishing their departmental programs.

In each department the responsibility for the administration of the department's incentive awards program is vested in a top official. Departments generally have designated either the Assistant Secretary for Administration or the official responsible for personnel management.

The new program encourages a decentralized system of administration within the departments, tailored to the management needs of the agencies. This should result in speeding up actions on suggestions and other contributions. The commission's regional offices have been visited and acquainted with the details of the program to insure full development in field offices and installations of the government.

Under the old setup, the federal government saved \$44,000,000 during the fiscal year 1953 by adopting employees' suggestions. For these suggestions the employees received approximately \$1,400,000 in cash awards. The commission expects even greater savings to the taxpayers under the new program. It is recognized, however, that money is not the only

factor to be considered in evaluating the importance of the new program. With intelligent application, the new incentive awards program will provide a sound basis for impelling workers to improve performance and efficiency and for developing more satisfying relationships among workers, management, and the public.

The commission is fully aware that, whatever the formalized administrative machinery set up for incentive purposes, the system will work successfully only if management is sincerely interested in instilling a sense of teamwork and in getting the active participation of all employees. This is very aptly stated in a foreword to a recent pamphlet issued by the U. S. Civil Service Commission as a guide for federal executives and supervisors.

. . . Success in the use of awards . . . is more dependent on the qualities of supervisory leadership than on any other condition. This is usually the kind of leadership that understands and uses awards and recognition as only one facet of employer-employee relations, only a part of the complex of drives that motivate people to do their best work.¹

¹Recognizing Employees through Incentive Awards (U. S. Government Printing Office, 1954), pp. 15. U. S. Civil Service Commission, Personnel Management Series No. 5,

Membership Survey, ASPA

Tour secretariat presents below summary data about the membership of the Society taken from the survey cards that were sent to each member October 18, 1954. As noted on the cards, this survey was made "to learn more about the composition of the Society's membership in order to help the Program and Policy Committee carry out its assignment of advising the Council."

The response to the survey was excellent. By November 10, 1,655 members, or more than half, had returned their cards, and the data on these cards were tabulated for the use of the P&P Committee at its meeting November 20. These summary tabulations were also distributed to all the members of the Council, the Editorial Board, and the National Member-

ship Committee.

Because more than 1,000 members said they would be interested in having a membership directory, the deadline for returning survey cards was extended to January 15, 1955, so that we might list accurate job titles and agency affiliations for as many members as possible in the directory. Stories were carried in the November and December issues of the ASPA Newsletter urging all members who had not yet returned their cards to do so by January 15, and an additional 453 members returned their cards by that date.

The tabulations presented below therefore summarize the information supplied by 2,108 members, or 71.8 per cent of the total Society membership of 2,935 at December 31, 1954. The subscribers to Public Administration Review are, of course, not included. At December 31, 1954, the Society had 907 domestic subscribers (libraries and other institutions) and 205 foreign subscribers (mostly individ-

The questions on the survey card, worked out in consultation with the Council and the Program and Policy and National Membership Committees, asked for the following information from each member: (1) name, job title, employing agency, city of employment, and permanent home address; (2) fields of interest; (3) age group and salary range; (4) membership in an ASPA chapter; (5) number of memberships in professional organizations other than ASPA; (6) intention of attending the annual conference of the Society in New York City, March 18-20, 1955, and whether the member had ever attended an annual conference of the Society; and (7) interest in a directory listing members by state and giving job title and employing agency.

Table I
Number and Percentage of 2,108 ASPA Members, by
Type of Employing Agency

Employing Agency	Members		
	Number	Per Cen	it
Government			
U.S. government			
Headquarters offices	372	17.6	
Field offices	242	11.5	
Overseas programs	22	1.0	
Regional governmental			
organizations	12	0.6	
State governments,			
including Hawaii	205	9.7	
Commonwealth of			
Puerto Rico	48	2.3	
County governments	68	5.2	
Local governments other			
than county	326	15.5	
United Nations	6	0.3	
Governments of other	-		
countries	7	0.3	
Total	1,308		62.0
University			
Professors	131	6.2	
Associate professors	54	2.6	
Assistant professors	59	2.8	
Instructors	42	2.0	
Other university employees	116	5.5	
Students	105	5.0	
Total		507	24.
Research and service		-	
organizations	79	3.7	
Consultants	61	2.9	
Citizen organizations	52	2.5	
Business-industry	29	1.4	
Government interns	19	0.9	
Other employments or retired	53	2.5	
Total		293	13.9
Grand Total	. 9	108	100.0

Thus, 636, or 30.1 per cent, of the ASPA members returning their cards are employed by the U.S. government, in headquarters or field offices or overseas programs. Other governmental units in the U.S. employ 659, or 31.3 per cent. Members from the universities

number 507, or 24.1 per cent.

Of the 2,108 persons replying to the questionnaire 610, or 28.9 per cent, are heads of the units in which they are employed; another 196, or 9.3 per cent, are assistant unit heads. Thus, at least 806, or 38.2 per cent, of those replying occupy positions that might be classi-

fied as supervisory.

Members were asked to check on the survey card the areas or fields of public administration in which they are interested. Thirteen fields were listed on the card and spaces were left for members to write in other interests. More than 50 additional fields or areas of interest were reported. The fields of interest checked or written in by the 2,108 members replying are set forth in Table II.

Table II Number and Percentage of 2,108 ASPA Members, by Field of Interest

	Members		
Field of Interest	Number	Per Cent	
Listed on Survey Card			
Federal administration	1,117	53.0	
Local administration	998	47.3	
State administration	888	42.1	
Personnel administration	878	41.7	
Executive development	827	39.2	
O&M	791	37.5	
Budget	726	34.4	
Legislative-executive relations	699	33.2	
Intergovernmental relations	690	32.7	
Headquarters-field relations	416	19.7	
International administration	372	17.6	
Comparative administration	282	13.4	
Accounting	239	11.3	
Not Listed on Survey Card in			
Which at Least 25 Members			
Indicated an Interest			
Education	117	5.6	
Public health	111	5.3	
Public welfare	66	3.1	
Planning	51	2.4	
Natural resources	50	2.4	
Research	47	2.2	
Municipal management	40	1.9	
Finance	36	1.7	
Agriculture	34	1.6	
Public works	33	1.6	
Housing	31	1.5	
Police	31	1.5	
Public relations	31	1.5	

Members were asked to check their age group and salary range. Of the 2,108 members returning their questionnaires, 1,996, or 94.7 per cent, checked their age group.

Age	Members	
	Number	Per Cent
Under 29 (jr. members)	320	15.2
29-45 Over 45	1,107 569	52.5 27.0
Unknown	112	5.3
Total	2,108	100.0

A high proportion also checked their salary

Salary	Members		
	Number	Per Cent	
Under \$5,000	342	16.2	
\$5-10,000	1,091	51.8	
Over \$10,000	488	23.1	
No salary or unknown	187	8.9	
Total	2,108	100.0	

Members were asked whether they belong to a local chapter of the Society. Of those returning cards, 411 do not live in an area served by a chapter and 19 living in a chapter area did not answer this question. Of the remaining 1,678 members living in a chapter area, 1,353 (80.6 per cent) belong to a chapter.

Members were also asked to check the number of professional organizations other than ASPA to which they belong. Returns show that 343 members belong to no other professional organization; 485 belong to one other; 446 belong to two others; and 774 belong to more than two others. Sixty members did not

reply to this question.

Two questions on the survey card asked about attendance at the Society's annual conferences. A total of 778 persons, or 36.9 per cent of those replying, said that they had attended at least one annual conference; and 572, or 27.2 per cent, said they are planning to attend the conference in New York City, March 18-20, 1955.

Final returns showed that 1,331 members, or 63.1 per cent, are interested in having a membership directory. The directory is being printed and will be ready for distribution March 1. The price will be \$0.50 to members of the Society and \$1.00 to others.

Reviews of Books and Documents

Science and Public Policy

By Elting E. Morison, Massachusetts Institute of Technology

GOVERNMENT AND SCIENCE; THEIR DYNAMIC RELATION IN AMERICAN DEMOCRACY, by Don K. Price. New York University Press, 1954. Pp. 203. \$3.75.

T

The question with which Mr. Price is concerned throughout this very useful book is this: how can the United States construct and maintain a system of creative interaction between the scientist and the politician; or, to put it more simply, between scientific activity and the development of sound public policy. Or, to put it still another way, how can our government resolve the ancient conflict between theory and practice, speculation and application. Involved in this question, as Mr. Price says, is "a whole series of most profound and most neglected problems." It is fortunate that this subject has attracted the attention of so well informed and thoughtful a man as Mr. Price.

He is thoroughly familiar with the workings of the American government. He has attended that great modern graduate school of political science-the United States Bureau of the Budget; he has served as deputy director of the Research and Development Board; he had a hand in framing the legislation for the Atomic Energy Commission and the National Science Foundation. Thus he has trained himself in the mechanics of public administration and become well acquainted, by observation, with the nature of scientific endeavor. In addition to these assets for dealing with the task at hand, he has a genuine feeling for the past, a familiarity with literature that extends beyond the relevant Executive orders and directives, a judicial spirit, and, fortunately, a direct and simple way of saying things.

Out of such experiences and talents Mr.

Price has written a book which lights up some darkened corners of our remoter past; analyzes, in good temper, some of our current perplexities; and extends a measure of aid and comfort for the future. His point of departure is an opening chapter of great interest in which he discusses, with historical allusions, the evolving influence of science upon the shape of our government and national development. It is his contention that from our earliest days the findings and attitudes of scientists have played a considerable part in the formation of our political solutions. On the whole he makes out a case at once good and interesting. Some of his effects he achieves not so much by overstating claims for the field of science as by understating or excluding those economic, social, and indeed spiritual considerations that entered into the decisions of the founding fathers and their immediate heirs. Some of his effects, too, he gains by his reluctance to bring the meaning of the word "science" within any very precise definition. There are occasions in this historical summary when "science" sounds quite a lot like good old eighteenth-century rationalism. But these things do not hurt the value of the argument in any important way. The major point is clear and suggestive: since the beginning, in census, geodetic survey, codification of weights and measures, collection of statistical information, and the like, our government and our scientists have had practice in relating the needs of each to the other and in providing institutional arrangements to fill the needs.

Against this historical background, in which one finds much of what might be called the unconscious accommodations of science and government to each other, Mr. Price considers our more recent and self-aware attempts to establish the dynamic relation between the

two which he seeks. Thus we have a brief, clear, and valuable description of the efforts made to administer the findings and energies of science in the public interest through such agencies as the Office of Scientific Research and Development, the AEC, the NSF, and the RDB. In describing these efforts Mr. Price includes the differences of opinion that arose over the kind of form into which these institutional arrangements ought to be cast. Here are laid out the arguments of Vannevar Bush and Senator Kilgore over the powers of the central administration for the NSF; the choices presented between the May-Johnson bill and the MacMahon bill as legislative foundations for the AEC; and the confusion of hopes and prejudices that turned the RDB into an administrative rabbit warren.

Most effectively and with impressive detachment Mr. Price uses the debates that arose over administrative form and substance to reveal the nature of the problem with which we have been presented. In a society that must, in the the interests of survival, control the immediate social applications of scientific findings, how can a political system be devised "by which the freedom of research can be defended and its results applied to practical problems under the guidance of responsible democratic processes." Put more crudely, when scientific ideas get mixed up with public policy, how can the men who have the ideas avoid getting mixed up with political negotiation. Or, as the jacket of this book states it, "how to achieve the indispensable benefits of a government-supported science without also incurring the intolerable calamity of a government-controlled science." Anyone who remembers the name of Dr. Astin or who has thought about the meaning of the situation in which J. Robert Oppenheimer now finds himself must recognize that these are large and persistent questions-questions to which we have not yet found satisfactory answers.

Yet Mr. Price in his sensible pages gives evidence that we have made some real progress toward the solution of our difficulties. Our historical success in developing a casual and informal relationship between scientific findings and political applications; our classic forms for the democratic process; our resourceful experiment with new forms like the AEC;

our instinct for federalism, extended as he indicates in a most suggestive chapter by a system of contracts that parcel out intellectual sovereignty to a variety of laboratories and universities; our national attitudes of good temper and tolerance suitably supported by the divisions of power within the government; and above all, perhaps, our historical success in bringing the influence of independent professional societies to bear on the formation of public policy-all these inherited characteristics and conditioned reflexes have served us well. They have provided a system in which there is enough weight and counterweight to give stability; enough play to permit the generation and assimilation of new ideas; and enough understanding to permit due discrimination in the selection of the appropriate new ideas.

TT

THERE is much in this well organized demonstration that is arresting, convincing, and comforting. It is gratifying to discover in these pages how well served in the past we have been by instinct and native wit. But the system, as it has been historically developed and presently improved, is not on the record or in the opinion of Mr. Price sufficient to serve a nation which must make unremitting and immediate use of scientific energies. The arrangements that have been devised are too loosely organized; they contain too many conflicting or irresponsible interests, too many duplicating elements, and too many insufficiently informed energies. There is nowhere today an instrumentality at the center of things wise enough and strong enough to provide a satisfying adjustment between the politician and administrator on the one hand who, as Mr. Price says, want a system in which they can direct science to practical ends, and the scientist on the other hand who desires a system that will give him support without sacrificing his independence. In the confusion produced by this administrative inadequacy, politicians may be tempted to tamper unduly with the conditions within which scientific research takes place while scientists may be tempted "to assume responsibilities semipolitical in nature." The results may well become not only dissatisfying but dangerous. There may be in the development and application of policies an untoward disorder and incoherence, and the freedom of the scientist may be placed in

jeopardy.

Mr. Price has a remedy for this defect. At one point he proposes that there should be "an intervening layer of administration between science and politics, to protect science and to make their relationship more smooth." He cites in another place the tradition, permanence, and discipline of the military which enables the members of the armed forces to conduct the public business with discretion and, when necessary, with secrecy. "If," he concludes, "we really wish to defend the integrity of science in America and to maintain the supremacy of civilian political authority, we might do well to build up a similarly strong administrative service and career system on the civilian side of the federal government." And in the final pages of this book, Mr. Price returns again to the point that there is "a grave weakness at the very center of our governmental machinery." We do not have an adequate career system for the higher ranks of administrators in the federal government. This system should be built "in part on the generalist with a background in general management and general public affairs, and in part on the man who has become a generalist after a thorough grounding in one of the specialized sciences or in its engineering or managerial application."

Nowhere in his book is Mr. Price very precise about the nature and duties of this "layer of administration," but his intent is clear enough. He wants somewhere in this jerrybuilt machinery a source of information and authority that will eliminate the "dangerous element of irresponsibility built into the central structure of the executive branch." This is a sensible proposal. It suggests a way in which the nation might obtain wiser and more consistent judgments in the selection of useful scientific ideas, quicker and more efficient translation of these ideas into actual policies, perhaps surer and safer means to relieve scientists from the hazards of political negotiation. In short, the proposal to create a responsible, informed group with continuing existence suggests how greater order, continuity, and discrimination might be brought into the disorderly structure that has grown up to preside over the scientific energies that are being introduced into the government. Therefore, this proposal should be received with respectful attention and in the hope that something may be done about it.

Ш

B UT this proposal, though it may be received with respect and hope, should not inspire the confidence in others that it apparently does in Mr. Price. By itself it offers no solution to the principal problem with which this book deals. That problem, at bottom, is how, in the present contingencies, to maintain the spirit of liberty in the realm of the intellect. The necessity for this maintenance is obvious. As Mr. Price says, "our argument for the freedom of science must rest . . . on the conviction that such freedom is justified both by the importance of freedom for its own sake. as the fundamental value in political society, and by the historical evidence that only free science can play a dynamic role in furthering human welfare." From this statement no sensible citizen in this country would dissent. The history of all Western culture supports the conclusion. And today, as this book says extremely well, there are influences at work to undermine the foundations of this indispensable freedom. No administrative device to make the relation between science and politics more smooth, no administrative layer inserted within the hierarchy at Washington, can sufficiently reduce the effect of these untoward influences. The confinement of liberty is being accomplished by more subtle means than either irrational public prejudice or administrative ineptitude. These means are not sufficiently considered in the pages of this book.

Take, as one instance, the change in attitude—over the last fifteen years—of the government toward science. In the old days, so well described by Mr. Price, the government selected from the reservoir of knowledge built up by individual sciences throughout the centuries whatever at any given moment it might require. Today, to a far greater extent, because its need is greater and more immediate, the government takes a more active part in the actual building up of the reservoir. In the military phrase, it has gone over to the offen-

sive. By stating its requirements and offering its support to those who can fill these requirements, it is taking a far larger part in the determination of what is important in the realm of ideas. It is thus far more active in the selection of the particular problems that engage the scholarly attention. This process is not pursued with malign intent, nor wholly consciously, but from the natural and healthy instinct for survival. Yet some of the results are worth considering. It is true, as Mr. Price indicates, that the government contract farmed out to widely separated universities and laboratories provides a kind of intellectual federalism. But the fact still remains that the institutions holding these contracts are drawn into negotiations, constructions, and political considerations that are different in intent and tone from the ordinary intent and tone of a wholly independent university. And the fact remains that some members of faculties are drawn off into negotiations, objectives, and realms of administration and classified knowledge that are wholly foreign to the free pursuit of knowledge. And the further fact remains that distinctions benign or invidious are drawn between those who can and do fulfill the requirements of a government contract and those who can't or don't. Added to these is another, less tangible, result-the subtle change in atmosphere produced by travel orders, toll calls, per diems, the sound of brass, and all the rest of it. How much things like this, over time, will affect the freedom and the independence of the scientist is certainly not clear today, and certainly their influence will vary from institution to institution. But they deserve to be taken into account by those who look to the universities as continuing sources of new ideas for new policies.

They are, in any event, side effects of the principal problem, which is this: when an agency as big, powerful, and indispensable as the government of the United States begins to decide in advance the kind of ideas it will pay for, it is reducing the randomness and play in the intellectual system; it is by the very act of selection and support tending to reduce the freedom of action of scientist and scholar alike.

This is the situation in which we find ourselves today. Not long after the Civil War it was recognized that in a society such as ours that government was no longer the best which governed least. By slow degrees we have devised methods to protect the bodies and livelihoods of individuals while still preserving their legitimate freedom of action as private citizens. The past, as Mr. Price suggests, gives us hope that now-when we must make direct use of the ideas as well as the goods produced by our citizens-we will devise means to protect the legitimate and indispensable freedom of the minds of citizens whether acting alone or in institutions. Some of the necessary precautions have already been taken-and Mr. Price suggests another-to protect the individual scientist who actively participates at the seat of government, or whose ideas find favor there. But he himself-this individual scientist-retains his independence only as he is a member of a great unorganized community which inhabits a universe of science that extends out from Washington beyond the borders of this country. When, by whatever influences, direct or indirect, the integrity of that universe is threatened, there will be future difficulties that no past record and no local administrative efficiency can eliminate. How to deal with this problem is the great question still confronting us. Mr. Price, by describing with extraordinary clarity the nature of the problem and suggesting proposed solutions, necessary but not in themselves sufficient, has made a contribution to our continuing effort to solve our great difficulties.

A French View of Civil Service Trends

By Walter R. Sharp, Yale University

La Fonction Publique, by Roger Grégoire. Paris, Librairie Armand Colin, 1954. Pp. 359. 1,200 Fr. francs.

THIS is by all odds the most significant study I of public personnel problems yet to come from the pen of a French author. Reflecting the author's eight years of experience as the first director of the French Central Civil Service Office, M. Grégoire's book reviews in moderately critical tone the uphill efforts of postwar France to modernize its state bureaucracy during a period of chronic political and economic instability. Students of personnel management now have an up-to-date treatment of the French civil service which, although set largely in a legalistic context, takes substantial account of human relations. The volume subtly blends law, philosophy, and practice in French terms and includes some shrewd appraisals of other Western experience. While the author must have had mainly in mind his potential French audience in designing his analysis, the results clearly constitute an important contribution to the literature of comparative administration. Even so, non-French readers will not find the book easy to digest in view of the special and often untranslatable terminology with which it abounds.

1

M. La Fonction Publique into seven logically interrelated parts. He begins by interpreting the double impact of staff syndicalism and the expansion of state activity on the classic French conception of civil service law. Here two main points are stressed: the progression from a "contractual" to a "statutory" basis for employee rights, and the emergence of a tightly "closed career" system—a system, observes Grégoire with possibly some exaggeration, that is becoming increasingly divergent from the "noncareer" American federal service.

The second section of the book amplifies the import of recent French civil service legislation. In this connection, two developments call for special notice. One is the elaborate provisions adopted since 1945 for staff participation in management decisions, and the other the ambitious attempt to develop an across-theboard civil service policy by setting up a central personnel unit in the office of the President of the Council of Ministers. The net effect of this legislation, according to Grégoire, has unfortunately been "less to assure administrative independence and initiative than to satisfy the aspirations of rank and file employees for security and equality." (p. 88) The new mechanisms of staff participation, consisting of a network of bipartite "administrative" and "technical" committees, and at the apex of the administrative hierarchy a "Superior Civil Service Council," have all too often been exploited by representatives of staff unions for narrowly selfish purposes-in sharp contrast with the operation of the British Whitley system. Similarly, the new central civil service agency, handicapped both by inadequate staff and authority and by its ambiguous relationship with the Direction of the Budget, has found it difficult to make its reform proposals prevail against the opposition of militant staff groups on the one side and the insistent demands for budgetary economy at all costs on the other.

In some respects, the next phase of M. Grégoire's analysis, concerned with the complex career structure of the French bureaucracy, will probably be found less satisfactory by foreign readers than any other part of the volume. Here one finds himself caught in a labyrinth of concepts with peculiarly French connotations-titulaire, auxiliaire, emploi, cadre, corps, catégorie, grade, classe-some of which are not clearly defined and the interrelations of which seem extraordinarily involved. As Grégoire significantly points out, there has never been any systematic, comprehensive study of position classification in France. After World War II an effort was undertaken to consolidate cadres by absorbing them into corps, but there still remain approximately 1,000 distinct administrative, professional, and technical career avenues. The one important

advance has been the interministerial grouping of central administrative posts into four horizontal levels: Category A, the administrateurs civils (corresponding roughly to the British administrative class); Category B, the secrétaires d'administration (similar to the British executive class); Category C, the adjoints administratifs (specialized subordinate employees); and Category D, nonspecialized clerical and manipulative personnel. Viewed as a whole, the civil service is overstaffed at the intermediate and senior levels because of the inability (or failure) of the budgetary authorities to control effectively the creation and regrading of positions. Decisions on manning tables are ordinarily made by the Finance (and other) ministers on the basis of political considerations, with the Civil Service Office playing little or no part in the process. Worse still, the annual appropriation act may, and frequently does, prescribe a rigid distribution of positions by administrative units which may be altered by the Executive only for reasons of economy and with the advice of the Council of State.

In regard to recruitment, the author would place the French approach to the problem 'midway between the American and the British systems." While recruitment in France remains tied to separate career corps, entrance examinations are gradually being unified interagencywise. Accordingly, appointment as administrateurs civils may now take place only through the new École Nationale d'Administration, whose program of combined academic and practical training wins Grégoire's hearty commendation. On the other hand, he seems mildly skeptical of the wisdom of utilizing psychological testing techniques (on the American model) for selection purposes. Although granting that the traditional French examination system may be too intellectualistic in character, he sees considerable merit in requiring applicants to present "logical exposés in lucid French" as part of the screening process. At the same time, Grégoire frankly admits that "the consequence of our methods . . . is that many young men, chosen with great care and complete impartiality, prove to be mediocre administrators: they may possess adequate general knowledge and admirable intellectual qualities but their personality structure, their methods of work, and their understanding of efficiency and of human relations leave much to be desired." (p. 202)

The fifth section of Grégoire's treatise deals primarily with the controversial subject of service evaluation. On this matter, the author takes a strong position in favor of making seniority the exclusive basis for granting salary increases and of using selection by merit for promotion in rank. Systematic rating devices, he remarks in passing, have never been taken seriously by French administrators, who evince a marked tendency to judge their subordinates' "intellectual and moral qualities" rather than their actual performance on the job. Nor are rating schemes employed in France as a means of correcting identifiable employee defects. Grégoire would substitute for the overly complex French rating system now in force a much simpler scheme confined to three numerical ratings on approximately ten items describing conduct and performance only. The results of such a system, which "should be objective," might in his view quite properly be communicated to the employees concerned-since it is only the adverse appraisal of intelligence that "tends to wound one's amour propre."

For more than a generation, French civil service reformers have been plagued by nothing quite so much as the knotty question of how (1) to relate pay scales to work levels and (2) to adjust such scales to rapidly changing living costs. M. Grégoire, in the sixth section of his study, explains in detail why the latest approach to this problem has led only to confusion worse confounded. In 1946, a special commission was established to carry out a comprehensive reclassification of salary grades. According to the general civil service statute enacted the same year, the new classification was to be built upon the concept of a minimum vital (subsistence wage) at the bottom of the administrative pyramid. But it soon became evident that this concept, however admirable in principle, was subject to conflicting interpretations. Nor was the companion concept of a "stable net salary" (take-home pay after taxes and other deductions), likewise prescribed by statute, a feasible proposition to maintain during an inflationary period when every Finance Minister was desperately seeking ways and means of balancing the national budget by limiting government expenditure. Consequently, it proved politically impossible to put into effect the set of net pay scales, with indexes ranging upward from one to eight, proposed in 1948 by the classification commission for some 1,500 different positions throughout the civil service. To complicate the situation still further, the commission had followed the path of least resistance by using formal educational labels as the main criterion for determining salary levels for many positions. Moreover, pressures from powerful employee unions succeeded in pushing up compensation rates for the rank-and-file out of proportion to the levels set for the higher grades. It was therefore decided to fall back on "gross" salary as the index of reclassification and then to resort to successive cost-of-living and residence bonuses in lieu of raising base salary scales. Such improvisations naturally generated a deep sense of injustice among numerous employee groups and each large syndicat proceeded to lobby for all the "special indemnities" it could squeeze out of Parliament for its own membership. Once again, laments Grégoire, senior officials found themselves the victims of a massive syndicalist impact on politically weak Cabinets and "equality"-oriented legislators.

The title used by Grégoire for the final part of his analysis is "The Civil Service in the Service of the Nation." Under this broad rubric are set forth, in the light of French doctrine and practice, the key elements of a staff disciplinary code, professional ethics, employee versus state liability, the contentious strike issue, and the problem of political activity by career officials. After noting the silence of the 1946 statute on the strike question, Grégoire calls attention to the equivocal legal situation that has resulted from the endeavor of subsequent legislation and jurisprudence to distinguish between "legitimate" and "illicit" strikes. In the author's view, it is futile to outlaw strikes in the public service except for the grands corps d'État (top administrators and senior technicians) and those employee groups exercising "security functions." Far more important, he believes, would be the development of a preventive policy built upon a genuinely equitable salary system. On the other hand, it is not entirely clear what position Grégoire takes regarding the limits that should be placed on partisan political action by civil servants. By implication, he would appear to view as unwise the existing French practice of encouraging parliamentary candidacies by granting leave with pay to state employees while campaigning for political office, and of allowing them to retain full seniority rights during their term as elected members of parliament. In mildly satirical vein, cases are cited where administrative departments have paid the difference between the parliamentary emoluments of staff personnel on leave and the pay they would have received on active administrative service, while other instances are noted in which officials on detached service have actually received staff promotions while serving in the national legislature.

H

In his over-all appraisal, M. Grégoire believes that some important gains in French personnel administration have been made during recent years, especially in the areas of preentry and inservice training, recruitment technique, and interagency career consolidation. He rightly regards the new École Nationale d'Administration as an institution with great potentialities. Yet he does not try to conceal his disillusionment, if not a sense of discouragement, over the failure of much of the postwar legislation to bring the improvements hoped for by its advocates. Experience thus far with the general code of 1946 (the full text of which might usefully have been reproduced as an appendix to La Fonction Publique) leads him to question the desirability of applying "uniform rules to all categories of civil servants," and he thinks that "an over-all classification plan is incompatible with the diverse requirements of contemporary public administration." On the other hand, he would not be in favor of discontinuing the Central Civil Service Office that he himself so ably directed during its formative years; such a bureau, however, should in his opinion be confined to research, analysis, and the setting of broad standards for personnel management inside the different ministries and state agencies.

There is little evidence in La Fonction Publique (or for that matter from other sources) that the internal operation or work methods of the French bureaucracy have appreciably changed since the time when, twenty-five years ago, this reviewer, then a young and brash American investigator, tried to unravel the intricacies of French personnel practices. M. Grégoire's study only reinforces this reviewer's conviction that deeply rooted cultural and psychological traits play a much more profound role in determining the direction and tempo of administrative change than some students of comparative administration are inclined to admit. As yet we do not know how to evaluate accurately this impact but it must be taken into full account in formulating future designs for cross-cultural research.

In this context, it is not without significance that France is one of the few advanced Western countries where O and M activities in public administration are still negligible. The reason is fairly obvious: in the French scheme of values, simplified and expeditious methods of conducting public business have a low priority. La paperasserie, though the object of daily complaint, is laughed off with a shrug of the shoulder by those who suffer from it. Nor is the dynamics of personnel management really understood by French administrators because rigid security of tenure and quasiautomatic guarantees of lockstep promotion are in fact valued more highly than the recognition and encouragement of individual initiative.

Although M. Grégoire gives only incidental attention to the role of cultural factors, he does provide one revealing illustration of how they affect personnel administration. In explaining why the French have been so reluctant to ex-

periment with personality group-testing devices, he refers to the "pathological fear" that examining boards not only may disregard "intimate personality differences" among applicants but may also be unduly influenced by subjective considerations, thus magnifying the element of chance. The Anglo-Saxon reaction has been markedly different.

Much of Grégoire's pessimism concerning the prospects for fundamental civil service reform relates to the political framework of the Fourth Republic. The development of a sound personnel policy, he feels, will hardly be possible for any French government in the near future because it will lack "the time, money, unity of purpose, and support of a sufficiently stable majority" to drive a balanced program through Parliament. Piecemeal tinkering is likely to go on, adding to "the incoherence of the present situation." Meanwhile, as Grégoire envisages long-run trends, the situation of government employees (pay scales excepted) will resemble increasingly that of organized workers in private and semipublic enterprises-with respect to methods of recruitment, job security, collective bargaining, the role of unions, the right to strike, and so on. This rapprochement of the "public and private sectors" of employment is likely to be accompanied by a steady decline in the "traditional sense of public service" among state employees and a further growth of "selfish corporate interest." If this happens, concludes Grégoire, the grandeur that Frenchmen once so proudly associated with their administration d'État may fade

"Unable to Bend"

By Thomas S. Francis

THE LIFE AND TIMES OF SIR EDWIN CHADWICK, by S. E. Finer. London: Methuen & Co., Ltd., 1952. Pp. 555, 425.

M. FINER'S book should go far toward lifting Sir Edwin Chadwick from relative obscurity to well deserved recognition. But more important than this, Mr. Finer's work is a valuable and well documented contribution to social science in general and to public administration and the social services in particular. The most unusual feature of the biography is the secondary role assigned to the personal aspects of Chadwick's life which spanned almost a century (1800-1890). His career as a public servant in Her Majesty's Government accounted for a little less than one-

fourth of his life. To his twenty two years of government service, Finer devotes 430-odd pages; to his sixty-eight years of life before and after his government career, Finer devotes only 50 pages. The book is primarily a political and administrative history of the Poor Laws and the public health movement plus brief accounts of Chadwick's part in the Factory Act of 1833 and the Police Act of 1839. Though Chadwick dominates the action throughout, the reader has ample opportunity to observe such nineteenth century figures as Bentham, Disraeli, Dickens, Morpeth, the two Mills, Russell, Grey, and a host of others. The whole narrative reads smoothly and interestingly and gives clear evidence of thoroughness and sound scholarship.

So far as Chadwick's character and motives are concerned, Finer corroborates the general estimate of the historians. Like Dorsey D. Jones, who published a less ambitious biography of Chadwick in 1931,1 Finer regards Chadwick as the ectype of Thomas Thurnall, the hero of Kingsley's Two Years Ago. Both authors quote the following passage, which is Thurnall's answer to why he persisted in mak-

ing enemies in hopeless causes:

'Don't you understand me?' asks Thurnall. 'You hate sin, you know. Well, I hate disease. Moral evil is your devil and physical evil is mine. I hate it little or big; I hate to see a fellow sick; I hate to see a child sickly or pale; I hate to see a speck of dirt in the street; I hate to see a woman's gown torn; I hate to see her stockings down at the heel; I hate to see anything wasted, anything awry, anything going wrong; I hate to see water power wasted, manure wasted, land wasted, muscle wasted, pluck wasted; I hate neglect, incapacity, idleness, ignorance and all the disease and misery which spring out of that. There's my devil and I can't help for the life of me going right at his throat wheresoever I meet him.'

Early nineteenth century England saw the gradual rise of the middle class to political power, culminating in 1832 in the Reform Bill and the Whig's undisputed control of the government. Finer deftly sketches this historical setting and discusses the main currents of thought that competed for men's minds in this period. He shows convincingly that Bentham's utilitarianism and Ricardo's economics were the two major influences in Chadwick's thinking and tells how he achieved a fusion of these two philosophies as a guide to his thinking and action. It was a social philosophy definitely biased toward preserving the favored economic position of the middle class, one in which humanitarianism was a desirable by-product, not an end in itself. The "greatest happiness principle" was to be realized by increased production which meant increased capital, increased wages, and ultimately an improved standard of living. Increased production depended on the free functioning of individual initiative. Freedom applied only to the individual initiative which contributed to increased production; the initiative which impaired maximum production was to be removed, forcibly if necessary. It was this point which set Chadwick apart from orthodox laissez faire and justified what then seemed to be his radical plans for vigorous government intervention in local and private affairs.

In addition to being a detailed history of the health and welfare movements in nineteenth century England, Finer's account of Chadwick's activities amounts to a valuable collection of case studies of the policy formation and administrative processes. One cannot help being impressed by the continuum of both processes. Then, as now, we observe the constant interaction of policy, politics, and administration, the activation of potential pressure groups when vested interests are challenged, and the inter- and intra-alignment and realignment of parties in their never-ending

bid for power.

Chadwick's impact on the policy formation process was significant in two respects. First, he dramatized the value of the scientific method in attacking social problems. But while his passion for facts and his prodigious reports proved his mastery of the techniques of the scientific method, his obstinacy revealed his deplorable ignorance of the true spirit and meaning of the scientific method. While his mind was open, it was opened wide; but once he arrived at his conclusions, he closed his mind to further considerations and objectivity was supplanted by bigotry.

He also affected the policy formation process by the part he played in the emergence of the

¹ Edwin Chadwick and the Early Public Health Movement in England (University of Iowa Press, 1931).

royal commission of inquiry as an accepted institution for considering important social problems. Finer's accounts of the five royal commissions with which Chadwick was connected are among the most interesting and informative parts of his book. Though the royal commission had been utilized on earlier occasions, Finer fixes 1832 as the year of its advent as a recognized institution of government. Between 1832 and 1872 every major piece of legislation was preceded by a royal commission of inquiry. Here was an institution which, free of political ties, was designed to bring impartial and independent judgment to bear on information scientifically gathered by a competent staff.

It appears, however, that the employment of a staff to gather information was not characteristic of royal commissions until the Poor Law Commission of 1832. And from Finer's account of Chadwick's royal commissions, only the work of the Poor Law Commission seems to deserve being called a genuine inquiry. The other four, dominated by Chadwick as a commissioner, served purposes other than bona fide inquiry. The Royal Commission on Employment of Children in Factories (1833) was a temporizing expedient to discredit labor's demand for a ten-hour law and to find an alternative solution more amenable to the large manufacturing interests. The three concerned with police, health, and sanitation were used to promote ideas already advocated by Chadwick. How Chadwick manipulated these commissions for his own ends by the careful selection of commissioners and staff, by overwhelming, if not intimidating, commissioners with masses of facts, by elaborate subcommittee arrangements, and by carefully rigged hearings is revealing and certainly pertinent to any critique of the numerous public policy councils flourishing today.

It was in the administrative process that Chadwick experienced failure and met his downfall. His total disregard for the traditional, his contempt for gradualism, his propensity for panaceas, and his mechanistic approach which discounted the human element conduced to elaborate and radical administrative innovations. They were all means to implement Bentham's "artificial identification of interests" and they varied from mild govern-

ment intervention by government inspectors, as provided in the Factory Act of 1833, to complete government control in the case of the General Board of Health, as provided in the Metropolitan Interments Act of 1850. Common features of his administrative plans were: broad delegations of legislative power to independent administrative commissions, uniform central administration to replace loose local administration, and paid professional officials to supersede amateurs. It appears that Parliament approved Chadwick's administrative measures without being fully aware of their implications. Subsequent friction revealed administrative anomalies such as the lack of authority of the Poor Law Board to remove Chadwick, its secretary, and the power of members of the General Board of Health to outvote their Minister chairman. These cases emphasize the principal shortcoming of Chadwick's administrative devices-lack of ministerial or political responsibility. Once discerned, Parliament rectified this shortcoming through drastic action.

According to Finer, Chadwick's radical administrative innovations were of secondary importance as causes for his failure. The principal reason was his ineptness as an administrator. As Finer expresses it, "unable to bend, he was made to be broken." The always interesting and sometimes exciting account of his career reads like a catalog of what an administrator should not do or be. Chadwick was the caricature of the bureaucrat.

As an administrator, his experiences with the Poor Laws and the Public Health Laws are closely parallel. In both cases his brilliant reports were widely heralded. They culminated in statutes that were largely of his own devising and in whose implementation Chadwick assumed a prominent role. In applying the laws, he was Procrustes and the statutes were his iron bed. He resolutely refused to modify his Poor Law principle of "less eligibility" even though a depression intervened and imposed extreme hardships on urban workers. Similarly, he refused to concede any points on his "medico-mechanical" principle of sanitation despite new scientific findings to the contrary. His implementations of the Poor Laws and the Public Health Laws were ruthless; they were conducted with little regard for the opinions of his fellow administrators and with no regard whatsoever for the feelings of the public.

The inevitable result of such actions was friction within his administrative group and alienation of large segments of the public, including powerful interest groups and the press. In the final showdown, the attacks in both cases became primarily personal attacks on Chadwick and only secondarily attacks on the merits of the statutes. There was a considerable measure of justice in these attacks, which attributed to Chadwick the same sinister motives that he unhesitatingly hurled at all opposition. Furthermore, though the invectives were over harsh, the attacks accurately focused the responsibility for failure. In all probability, a more temperate, artful administrator could

have effectively realized the objectives of both statutes.

But then the question remains: would this same temperate, artful administrator have possessed the heterodoxy and courage that defied tradition, recast four distinct social services, and reorganized local government? This is Chadwick's justification-he awakened the English, gave them a vision of a better community life, and organized the means for its achievement. For this task he was temperamentally equipped as few other men of his day. That he was unable to operate the means of his own devising, that he failed as an administrator, is true. But censure for these failings should not obscure his pioneering power as an innovator and servant of the public. This, Finer's discriminating biography makes clear.

Contemporary Topics

Compiled by Opal D. David, Public Administration Clearing House

Foreign Policy Coordinators

Two moves to strengthen the organization of the executive branch in the field of foreign policy were announced during December.

On December 11, President Eisenhower designated Joseph M. Dodge, former director of the Bureau of the Budget, as a special assistant with particular responsibility for coordination of foreign economic matters. Mr. Dodge was authorized to establish and to serve as chairman of a Council on Foreign Economic Policy which the President indicated should reorganize under a simpler structure many of the "numerous standing and ad hoc interdepartmental coordinating mechanisms, as well as a complex of overseas departmental operations, each dealing with a limited aspect of our foreign economic policy." The Secretaries of State, Treasury, Commerce, and Agriculture, and the director of the Foreign Operations Administration, or their principal deputies, constitute the initial basic membership of the council. Ex officio members designated by the President are his administrative assistant for economic affairs, Gabriel Hauge; special assistant for national security affairs, Robert Cutler; and a member of the Council of Economic Advisers.

Because of the important bearing which foreign economic policy may have on national security policy or international financial policy, Mr. Dodge was directed to establish "appropriate working relations" with the National Security Council and the National Advisory Council on International Monetary and Financial Problems.

The second move, on December 16, was the appointment of Nelson A. Rockefeller, former Under Secretary of the Department of Health, Education, and Welfare, as special assistant to the President with particular responsibility for "advice and assistance in the development of increased understanding and cooperation among all peoples." At the President's request,

Mr. Rockefeller will attend meetings of the Cabinet, the National Sccurity Council, the Council on Foreign Economic Policy, and the Operations Coordinating Board. This last group is concerned primarily with "cold war" activities of the federal government.

Staff Work for the President

A number of changes have taken place in the internal organization of the White House staff under President Eisenhower. The most recent of these, the appointment of a secretary to the Cabinet, emphasizes the extent to which relationships within the staff group and between the President and his Cabinet have become formalized.

Under the present system, which has evolved by various stages, Maxwell M. Rabb, who has been designated secretary to the Cabinet, prepares an advance agenda in consultation with the President and the Assistant to the President, Sherman Adams; arranges for the preparation and distribution of staff papers relating to items on the agenda; keeps an account of decisions made at the Cabinet meetings; and follows up to be sure they are carried out. Special assistants for Cabinet coordination in the departments are responsible for seeing that material for Cabinet consideration is forwarded to the Cabinet secretariat and for reporting to the secretariat on progress made on decisions of the Cabinet.

President Eisenhower makes frequent use of Cabinet committees (whose membership may sometimes include non-Cabinet agency heads such as the chairman of the Atomic Energy Commission or the federal civil defense administrator) to develop policy recommendations on matters requiring action, and Secretary Rabb also keeps track of these.

The position of Assistant to the President has been listed in the *United States Govern*ment Manual since 1947, but for the first time the incumbent has been given administrative responsibility for the direction of the entire staff.

Another new position is that of staff secretary. Col. Andrew J. Goodpaster, who has occupied this position since the death of Brig. General Paul T. Carroll last year, is responsible for coordinating clearances within the White House staff. His duties include the business management of the office and liaison with

the secretary to the Cabinet.

Since the organization of the White House staff and the relationships between the President and his Cabinet are not governed by statute there is nothing to prevent a succeeding President from changing this pattern in any way he sees fit, and students of the Presidency generally agree on the importance of leaving the chief executive complete flexibility in this respect. However, the present system moves in a direction which has been recommended by such interested observers as former Secretary of Defense Forrestal and a task force of the first Hoover Commission as one way of easing the tremendous burdens of the Presidency.

Progress in Foreign Service Integration

The State Department's Public Committee on Personnel met in Washington on October 12-13 to evaluate the progress made in carrying out the recommendations of their report, prepared under the chairmanship of Henry M. Wriston, president of Brown University, which was released last June. This committee used the word "integration" to denote a single administrative system above certain levels for Foreign Service and departmental personnel.

In a letter addressed to Secretary of State Dulles, the committee expressed general satisfaction with the progress that had been made and commended particularly the steps that had been taken to brief the personnel of the department and the Foreign Service on the new pro-

gram and the reasons behind it.

The committee noted that no action had been taken on their recommendation that the Foreign Service inspection activity be transferred from the Bureau of Security and Consular Affairs, headed by Scott McLeod, and placed in the Office of the Under Secretary for Administration. They expressed the hope that

the Secretary would review their reasons for making this recommendation and pointed out that "it is generally accepted in theory and practice that an inspection agency should report to the head of the organization or as near to the head as practicable."

Anticipating the expiration December 31, 1954, of the special legislative authorization for the position of Under Secretary for Administration, held since last June by Charles E. Saltzman, the committee urged prompt action in the selection of a properly qualified principal administrative officer who could come "prepared to stay."

(President Eisenhower announced at his press conference on December 2, 1954, that Loy W. Henderson, a long-time career Foreign Service officer currently serving as U.S. Ambassador to Iran, would take over Mr. Saltzman's responsibilities on January 1, 1955, in connection with his appointment as Deputy Under Secretary. A later announcement revealed that the Secretary of State had transferred authority over the inspection of U.S. missions abroad from Mr. McLeod to the new Deputy Under Secretary, effective December 31, 1954-)

Progress in strengthening the Foreign Service Institute was found to have been retarded by the inability of the department to find an appropriate director. However, the committee found that a start had been made in building up the training program of the institute through additions to the staff and to the curriculum.

Concern was expressed over the fact that an abnormally low number of candidates had appeared for the most recent examination for junior foreign service officer posts and that the integration program did not appear to be significantly increasing the size of the junior officer class. The committee recommended especially vigorous recruiting efforts in this area and noted with approval that plans were well advanced for requesting the separate legislation required for the establishment of a scholarship training program.

A status report was issued by the department on December 1 on the number of departmental employees qualifying for the Foreign Service through lateral entry under the integration program. As of that date the

Senate had confirmed 152 nominations of personnel examined under this program. Another 204 candidates had successfully completed their examinations, including the oral interview and physical examination; 144 had completed the oral interview but had not yet taken the physical examination; and the records of 389 candidates were still under review by the examining panels.

Executive Reserve Programs

A pilot program for maintaining a civilian reserve of executives to serve the federal government in time of emergency was inaugurated by the Office of Defense Mobilization on December 1, 1954. An initial group of executives from private industry and labor organizations reported in Washington under the terms of a three-way agreement signed by the government, the participating executives, and their employers which insures that the members of the reserve will be on call on a voluntary basis for full-time assignment in ODM or its successor agency in the event of full mobilization. Members of the reserve will be expected to attend one or two meetings a year, taking part in mobilization exercises designed to prepare them for their emergency posts, and to keep ODM advised of any change in their situation.

Another type of reserve system has been operating for some time in the Business and Defense Services Administration of the Department of Commerce. In this agency, which is particularly concerned with industrial mobilization planning, businessmen serve six-month periods as operating officials in the BDSA's industry divisions, with career civil servants as their deputies to give continuity.

A Special Committee on Manpower Policy established by the National Planning Association early in 1953 issued a report in June, 1954, making recommendations based on information then available about these two plans and other research on the subject. This report, Needed: A Civilian Reserve, may be secured from the NPA, 1606 New Hampshire Avenue, N. W., Washington 9, D. C. Price, \$1.00.

Duplicate Personnel Files Discontinued

A new Executive order, recommended by the Civil Service Commission, eliminates existing unnecessary duplication in the maintenance of official personnel folders of federal civilian employees. This order, No. 10561, signed by the President on September 13, 1954, designates the official personnel folders in government agencies for employees in the competitive service as records of the Civil Service Commission, and authorizes the commission to prescribe regulations governing the maintenance and transfer thereof. This enables the commission to discontinue maintenance of centrally kept records of personnel action forms which are also kept in agency files and will result in annual savings which the commission estimates will exceed \$100,000. The discontinued records will be sent to the Federal Records Center at St. Louis where official personnel folders of employees who have left the federal service are now deposited.

The Civil Service Commission will continue to maintain examination, certification, investigation, and other existing records. The commission will also maintain, in lieu of the discontinued folders, a locator file containing the name, date of birth, and employing agency of the majority of current federal workers. No evaluative or other materials now used by the Federal Bureau of Investigation and other investigating agencies are contained in the discontinued files, and all services presently provided by the commission and other federal agencies will continue to be available to the bureau and other investigating agencies.

Emergency Relocation Test

A designated group of federal employees representing a cross section of the essential wartime functions of all federal government departments and agencies took part on November 20 in a test of emergency relocation plans developed by the Office of Defense Mobilization to insure continuity of government functions in case of attack. Participating employees reported to assigned emergency headquarters outside Washington—some of them as far as 200 miles away—and set up operations to solve problems of production, transportation, manpower, communications, housing, and finance which they might be expected to face during and after an attack.

Employees with relocation assignments have

an additional responsibility not borne by other federal employees since, in an emergency, they must be ready at any time to proceed to their relocation posts regardless of personal hardship. Civil Defense identification cards and vehicle markers are being issued to these employees to permit travel through areas under local traffic control after evacuation so that employees may reach their relocation posts.

All departments and agencies have been asked to develop measures which will insure continuation of executive direction in case of emergency. These measures include the designation of successors to all key positions in each agency, as well as the predelegation of emergency authority to field establishments. Such authority will permit regional directors to carry on the essential functions of their agencies in the field if communications with Washington should be disrupted.

Another important phase of the program calls for the development by each agency of plans which would assure both the protection

and the availability of vital records. The plan which the government is using is similar to that which ODM has recommended to industry throughout the nation. The Department of Commerce is working closely with industry in the development of plans to assure continuity of industry management and of capacity essential to fulfill needs of the military and the civilian economy under mobilization conditions. The Departments of Defense, Agriculture, and Interior and the Defense Transport Administration also are engaged, with ODM assistance as required, in informing those industries in their respective areas relative to preattack planning.

Office on Institutional Projects Abroad

The American Council on Education has established an Office on Institutional Projects Abroad to facilitate more effective participation by institutions and agencies concerned with higher education in programs of technical cooperation. An eight-member guiding committee, headed by Chancellor Harvie Branscomb of Vanderbilt University, will formulate policy and approve general plans and procedures for the office's operations which are being financed by a three-year grant from the Ford Foundation.

The office has published the first issue of a bulletin, Education and Foreign Operations, which will be distributed occasionally as events warrant. This issue states the objectives of the OIPA and describes in general terms the technical cooperation programs of the Foreign Operations Administration and the contractual process through which U.S. institutions may

participate in those programs.

The activities of the new office will focus on three major areas: "(1) aid in development of contractual or other arrangements between educational institutions and sponsoring agencies and organizations; (2) effective operation of activities under these arrangements; and (9) general activities aimed at strengthening the contribution of technical cooperation programs to the self-development of other countries and the strengthening and enrichment of American higher education."

Copies of this and future issues of the bulletin are available free of charge on request from the American Council on Education, 1785 Massachusetts Avenue, N.W., Washington 6,

D. C.

New College Recruiting Proposal

The Civil Service Commission has recommended to the Interagency Advisory Committee of top government personnel officials in Washington a new plan for examining and recruiting college-level applicants for positions in the federal civil service.

Under present practice there are three different examinations which are designed for college-level recruiting of liberal arts and social science majors: (1) junior management assistant, for filling administrative positions in the departmental service; (2) junior professional assistant, for filling technical positions in the departmental service; and (3) junior government assistant, for filling positions in the field service only.

This multiplicity of "J" examinations has confused the recruiting situation on college campuses and has aroused a good deal of criticism from educators who have objected to the duplication involved in the various applications required. Additional dissatisfaction has stemmed from the fact that promotional efforts have tended to focus attention on the JMA at

the expense of the field services, although ninety per cent of the positions in the federal service are located outside the Washington area.

The new plan proposes that a single, continuously open examination, designed to meet the requirements of both the field and the departmental service, should replace all of the other examinations except where need for special examinations is clearly indicated to meet temporary shortages in a technical field. In support of the recommended change, the point is made that college students represent a relatively homogeneous manpower resource in level of education, age, cultural patterns, intelligence, career aspirations, and availability for employment and that the variety of special examinations is therefore unnecessary. The proposed examination would accomplish the same purpose by providing for an indication of special technical interest fields and a choice of one regional location in addition to the departmental service.

It is not anticipated that the new plan will go into effect during this year, and the old-type JMA examination is being given as usual on a nationwide basis this year. The JPA examination has not been announced on a nationwide basis for several years.

FOA Police Training Program

The Foreign Operations Administration and the International Association of Chiefs of Police have entered into an agreement to provide training in the U. S. for 225 foreign police administrators and technicians during the next three years.

The training project is part of FOA's program of technical cooperation in this and other fields of public administration to help underdeveloped countries accomplish their economic development objectives. In some countries improved police administration is necessary for the maintenance of law and order as a basic prerequisite to economic progress. In others, assistance is being requested on specific economic development problems, such as traffic control in congested areas.

Under the terms of the agreement the IACP, working with FOA, assumes the major responsibility for making arrangements with academic institutions and U.S. police agencies for the specific training program, furnishing technical literature, and supervising the period of study.

Philippine Government Reorganization

The Philippine Congress created on May 6, 1954, a Survey and Reorganization Commission with broad powers to propose regrouping, coordination, or consolidation of governmental organizations and functions and other steps necessary and desirable to effect economy and promote efficiency. The commission must complete its preliminary proposals by March 15, 1955. If the President submits the reorganization plan to Congress, it will take effect upon approval or after thirty days, unless sooner disapproved.

Several features of this Philippine approach to reorganization resemble that used in the United States in recent years. One is the use of a special commission and task forces to conduct studies and prepare proposals. Like both Hoover Commissions, the Philippine Commission is composed of four presidential appointees, four senators, and four representatives. The commissioner of the budget, Dominador R. Aytona, was elected chairman. This is a departure from the U.S. pattern. Another similarity is the delegation to the President of authority to submit plans which automatically go into effect unless disapproved by Congress within a limited period of time.

However, there are several features of the reorganization machinery of the Philippines which give the President less authority to guide reorganizations than the President of the United States has. Whereas the U.S. President has a free hand to decide what provisions to include in any reorganization plan he sends to Congress, President Magsaysay, under the reorganization commission law, must either accept or reject without change any plan submitted to him by the commission.

Rejection of a plan will be easier for the Philippine Congress than it is for the U.S. Congress. A reorganization plan submitted to the U.S. Congress can be turned down by action of either the Senate or the House of Representatives, but the resolution must be supported by a majority of the authorized membership, not just a majority of a quorum of

either house. In the Philippines, on the other hand, it will take only a simple majority of either chamber to block a presidential reor-

ganization plan.

The commission is receiving technical assistance from Louis J. Kroeger and Associates under a contract supported by the U.S. Foreign Operations Administration and the Philippine Council for United States Aid. In addition to its own staff and contractor personnel, the commission is also making use of staff members of the Institute of Public Administration, University of the Philippines.

Progress on Public Administration Study in American Republics

All of the field work has been completed in connection with the survey of public administration in the American Republics being made by Public Administration Clearing House for the Organization of American States. (See Summer, 1954, Review, p. 222.) John B. Blandford, Jr., PACH special representative in charge of this project, has visited all twenty of the Latin American Republics, interviewing public officials, field personnel of technical cooperation agencies, and others concerning probable future needs for technical services in public administration and the most practical means of supplying those needs. Mr. Blandford made an interim report at the hemispheric economic conference in Rio de Janeiro last November. PACH expects to submit a final report to the Inter-American Economic and Social Council in May, 1955.

PACH is supplementing the field work with a program of research and other projects. Special conferences have been held with U.S. experts on Latin America assembled at the annual meeting of the American Political Science Association in Chicago in September, 1954, and with municipal officials and experts from Latin America at the Inter-American Congress of Municipalities in San Juan, Puerto Rico, in

December, 1954.

Also in connection with this study, PACH is cooperating with the Library of Congress in a preliminary survey and analysis of the Latin American public administration literature. This project, which is being carried out by the staff of the Library's Hispanic Foundation under the direction of Howard F. Cline, will take

as its point of departure a comprehensive Bibliography on Public Administration in Latin America recently published by the Pan American Union (Bibliographic Series No. 43, \$0.75).

Study of New York City Statistical Services

At the invitation of Mayor Robert F. Wagner, the Russell Sage Foundation is sponsoring a study of the statistical needs and activities of

New York City.

The plan for the studies, which was jointly developed by City Administrator Luther Gulick and the New York Area Chapter of the American Statistical Association, contemplates a series similar in nature and purpose to the studies of statistical work of the various departments of the federal government made in 1933 and 1934 by the Committee on Governmental Statistics and Information Services, with the sponsorship and cooperation of the American Statistical Association and the Social Science Research Council.

It is anticipated that the studies will constitute a valuable supplement to the recent mayor's management survey and that, as a result of the project, material will be developed which will be of use in the administration of

other cities.

A seven-member advisory committee, appointed by the foundation, is responsible for general oversight and control of the series of studies and for the selection and direction of the staff. Chairman of this committee is John A. Krout, provost of Columbia University. Other members are: Robert E. Johnson, economist and actuary, Western Electric Company; Daniel G. Tenney, Jr., of Milbank, Tweed, Hope and Hadley; Lazare Teper, director of research, International Ladies Garment Workers Union; Ralph J. Watkins, director of research, Dun and Bradstreet, Inc.; Samuel S. Wilks, professor of mathematics, Princeton University; and Ralph G. Hurlin, secretary and assistant treasurer, Russell Sage Foundation.

Director of research for the series of studies is Allen D. Manvel, who has been granted a leave of absence by the U.S. Census Bureau from his position as chief of its Governments Division to take on this assignment. The statistical research staff is located in the offices of the city administrator and is working in close cooperation with his staff.

Education for Municipal Administration

Ten graduate students from Cornell University, Ithaca, N. Y., prepared last year's annual report for Cortland, N. Y., as part of a course planned by their municipal administration faculty in the School of Business and Public Administration. The students worked as a staff for the mayor of Cortland in preparing a 32-page booklet which summarizes year-round activities of the city departments. The descriptive text is supplemented by maps, photographs, and charts.

The project was part of a two-year program during which architecture students are scheduled to prepare a master plan for Cortland and business and public administration students are scheduled to formulate a capital budget to supplement the plan. During the previous year, students in the same course planned an annual report for their university's home city of Ithaca.

British West Indies Training Conference

A conference for officials of the British West Indies dealing with problems of teaching and training administrators for government and business will be sponsored by the Extra-Mural Department of the University College of the British West Indies in April, 1955. Its purpose will be to guide the University College in developing its program throughout the islands. With the financial assistance of the Carnegie Corporation of New York and upon the advice of the Colonial Office of the U.K., an advisory committee representing the civil service, industry, and the University College has been set up to make plans. Invitations have been sent to seven governments in the British Caribbean and to key industries like sugar, oil, and bauxite. Consultants to the conference will include: Paul Herzog, Harvard University; James Perkins, Carnegie Corporation; Noel Hall, United Kingdom Administrative Staff College: Andrew Hammond, a Colonial Office official formerly in charge of educational work in Jamaica; and Pedro Muñoz Amato, dean of social sciences, University of Puerto Rico. Further information about the conference can be secured from Philip Sherlock, vice-principal of University College, Kingston, Jamaica.

U.K. Course on Taxation

A short special course in tax administration has been arranged by the British Council, a quasigovernmental body which is concerned with training and the exchange of information within the Commonwealth. The course has been developed in cooperation with the taxing and rating authorities of the government in an effort to deal in more orderly fashion with the numerous individual applications for training which are made every year to these authorities and to provide guided study in a complicated field.

Candidates for the course must be qualified as officials of some experience whose duties include the central direction of revenue services or responsibility for assessing or collecting taxes, or who are concerned with the administration and inspection of such services.

Twenty-one officials from fourteen countries participated in the first course which took place in London September 1-December 20, 1954. Most of these participants were sponsored by their governments, either directly or through the agency of the Colombo Plan or United Nations fellowships organizations.

The first two weeks of the course were devoted to an introductory survey of the machinery of government, followed by four weeks of lectures, tutorials, and reading with more specific emphasis on the administration and collection of central and local government revenue. Members of the course were then divided into groups and attached, according to their specialty, to the Board of Inland Revenue, the Department of Customs and Excise, or local government bodies. During the final three weeks of the course the group met together again for discussion and the preparation of reports.

Educational Leave for Public Employees

A new policy has been adopted by the state of Connecticut granting educational leave to public employees of demonstrated ability for one or more years of leave with full pay to take technical or professional courses designed to help them in their state work. Employees are eligible for this special leave if they have worked for the state for at least two years. They must promise to return to state employment for at least two more years after completing their courses and are required to pay their own tuition and other educational fees.

The new policy also permits educational leaves of absence without pay during which employees will have their seniority and other job benefits guaranteed, providing they also pledge to return to state service for at least two

years after their schooling.

This practice is not so common in government as in industry, because government agencies need authorization from the legislature to carry on such programs and such authorization has not been widely granted. A number of federal agencies have legislative authority to use nongovernmental facilities for training their employees. These acts provide that employees remain on the payroll while attending school and also provide for the payment of tuition.

Municipal Broadcasting Survey

At the request of its German member organization, the secretariat of the International Union of Local Authorities has collected information from its members on the use municipalities make of the radio and television for transmitting news about municipal events and improving citizen understanding of local government affairs.

Replies received indicate that most radio networks in Europe are state owned and controlled, which makes municipal broadcasts—of interest to a limited group of listeners—unlikely. Where regional transmitters exist, as in Holland, Belgium, France, Norway, Portugal, and Switzerland, their time is to a large extent taken up by relays of national network programs. However, limited time is occasionally made available for local features. Special mention should be made of a regular series of talks on one of the national networks of the French radio which are organized by the Association of French Mayors.

Mishima City, Japan, has a small ultra-short wave wireless station in the city office which operates for about an hour daily relaying broadcasts to various parts of the city. The Japanese example bears a close relationship to the system of cable relay of radio transmissions found in some European countries. These cable relay systems may be privately controlled, as in Belgium or Great Britain; or state controlled, as in the Netherlands and Austria; or run partly by the state and partly by free enterprise, as in Switzerland.

Canada's radio system is a mixture of state control and private enterprise. A public corporation, the Canadian Broadcasting System, operates an extensive network of transmitters. Private stations operate side by side with the transmitters, and local stations of both types make facilities available to mayors in times of emergency. Local news broadcasts cover municipal topics in much the same way as a local newspaper does and some local broadcasting stations devote special weekly or monthly broadcasts to municipal affairs, making time available to the mayor and council for them to use as they wish.

The U.S. makes the widest use of radio for municipal broadcasting and in several cities reports to the citizens are also made by television. More than forty cities in the U.S. make use of one or both of these mediums, and four cities -New York, Dallas, Jacksonville, and St. Petersburg-were reported as owning their stations. The customary pattern for municipal programs is fifteen minutes weekly; most cities have early evening or weekend time. Most of the programs are prepared discussions on major municipal issues. Council meetings-in summary or rebroadcast from tape recordings -are regularly broadcast in a number of cities. Occasionally questions from citizens are solicited for reply on succeeding broadcasts.

New York City Budget

New York City's proposed budget for 1954-55 is the largest governmental budget in the U.S., except for that of the federal government. The nearest rival for second place is California whose budget is about \$17 millions less than the New York City figure. The 1,969 pages of the New York City document set forth proposals for spending \$1,595,474,633.01. The volume is five inches thick and weighs approximately twenty-two pounds.

Career Service in Denver

The city-county government of Denver, Colorado, now has a formal career service system. A charter amendment which took effect Dec. 1, 1954, covers about 4,500 employees. Employees in independent agencies will be excepted. Firemen and policemen are not affected because they already had their own civil service program.

With the passage of the amendment, Denver became one of the estimated 400 U.S. cities of more than 10,000 population to have full civil service systems. Approximately 400 other cities in that population class have systems that cover a select group, such as firemen and policemen, which means that altogether about two-thirds of all U.S. cities of more than 10,000 population have some kind of civil service system.

The Denver amendment provides for a fivemember unpaid board of citizens, appointed by the mayor, to issue rules, set policies, and hear appeals. A full-time personnel director and staff will be employed. The charter calls for an annual appropriation by the board of councilmen of not less than 1 per cent of the total expenditures for personal services in the career service. It also calls for enactment by city council ordinance of a classification and pay plan after recommendations have been made by the Career Service Authority. Workers who were with the city before adoption of the amendment do not have to take tests to qualify for the jobs they now hold, under the terms of the amendment. They can be dismissed only for cause, which includes the good of the service.

Medical Examinations for Public Employees

A report on the health program of the city and county of San Diego, California, indicates that it is just as important for employers to set medical standards for hiring as it is to require applicants to have certain training and experience before they get a job. The medical programs of both the city and the county have become self-supporting since the adoption of medical tests as a prerequisite to employment.

Savings through reduction of absences because of illness have more than offset the expense of operating the program. Absences on account of illness in the city have been cut from an annual average rate of 11 days in 1947 to the present yearly average of 4.5 days, and the medical examinations, coupled with a safety program, have been credited in San Diego with lowering the local workmen's compensation rate from 88 per cent in 1947 to 68 per cent.

The report, by Lew Fay and Gordon W. Peterson, titled Medical Examinations for Public Employees, is Personnel Report No. 545 of the Civil Service Assembly, 1313 East 60th Street, Chicago 37, Illinois. 49 pp. \$2.00.

Sales Ratio Study Guide for Assessors

The Federation of Tax Administrators has published a *Guide for Assessment-Sales Ratio Studies* which is designed to help tax officials relate assessments to the upswing in real estate prices which has taken place during the postwar period.

While collections from income and excise taxes have responded automatically to national economic expansion, the growth in the property tax base can be reflected in tax collections only through a revision in assessment levels. These valuations have failed to keep pace with the rise in national wealth, even though most local governments continue to depend on the property tax as their principal source of revenue.

A sales ratio study involves a comparison of the price of property sold with the assessed valuation of such property. The ratio so derived may then be applied for statewide equalization purposes and to insure that all taxpayers are assessed the same proportion of the value of their property.

The Guide reviews each step in the sales ratio analysis from the initial planning of the study to the publication of its findings. Chapters deal with the period covered in the analysis, selection of sales, recording of assessed valuations, classification of property, editing of data, and statistical analysis.

The report is the work of the Committee on Sales Ratio Data of the National Association of Tax Administrators. It is available from the Federation of Tax Administrators, 1313 East 60th Street, Chicago 37, Illinois. 69 pp. \$2.50.

Homestead Plan for Long-Term Patients

New York City is making a survey of longterm patients in its city hospitals to find out how many of them could be moved to "homesteads," where they could get rehabilitation in more pleasant surroundings and at less cost.

The city will take a sample of one-fifth of the 15,000 patients who do not have mental illnesses and are not tubercular or maternity cases. From that sample, an estimate will be made of the number of patients who would benefit from therapeutic recreation and activity.

The cost of care in a "homestead" would be about \$4 a day, as compared with \$20 a day in the city's general hospitals. Thus, the saving to the city if 1,000 out of the 15,000 patients qualified for transfer has been estimated at more

than \$5 million a year.

Two old city hospitals, scheduled for replacement in two years, would be converted into use as "homesteads." They would not have regular doctors or nurses assigned to their staffs but would be located near hospitals in case patients had heart attacks or other sudden illnesses.

United Nations Institute of Public Administration, Cairo

The Egyptian government, with the assistance of the United Nations, is setting up an Institute of Public Administration in Cairo. Plans for the institute were prepared by C. Tarras Sallfors, director-general of the Organization Commission of the Swedish Ministry of Finance, who was sent to Cairo during the summer and early fall of 1954 by the Public Administration Division of the UN Technical Assistance Administration, at the request of the Egyptian government.

The new institute will be similar to the UN institutes established previously in Turkey and Brazil. An interesting variation from them, however, is that the Egyptian institute will be nominally attached to the Civil Service Com-

mission of Egypt.

Ahmed Zaki, director-general in charge of recruitment and training in the Civil Service Commission of Egypt, is the director-general of the Institute. Walter Sharp of Yale University is the co-director for the first year of operation and will also teach public administration.

The institute will be governed by a board of directors consisting of the president and vice-president of the Egyptian Civil Service Commission and the director-general and co-director of the institute. Others may be added at a

later stage.

The UN will provide teaching staff in the following subjects for the first year of operation: organization and methods; personnel administration; financial administration; tax and revenue administration. The Egyptian government will provide professors and lecturers for courses relating to Egyptian problems and conditions and assistants, researchers, interpreters, and translators. Within five years the number of UN experts will be progressively reduced to three.

U.K. Conference on African Administration

About 160 people, including officers from all the African territories with which the British Colonial Office is associated, attended the sixth summer conference on African administration at King's College, Cambridge, August 23-September 4, 1954. Ministers, legislative councillors, and nonofficial leaders from these territories were present, together with representatives from the U.S., France, Belgium, the Netherlands, and Portugal. The conference discussed the administrative problems in Africa created by industrial development and the growth of towns, with primary attention to the problems of officers serving in the field.

United Nations Library

As part of the Secretary-General's recently announced reorganization plans, the United Nations Library has been made a part of the Department of Conference Services of the UN Secretariat, but with a separate budget which is submitted to both the Advisory Committee on Administrative and Budgetary Questions and the General Assembly's Fifth Committee. Previously it had been attached as an independent unit to the Executive Office of the Secretary-General and communicated directly with the Personnel and Budget Bureaus.

The organizational structure of the UN Library includes the Director's Office, the Reference and Documentation Section, and the Processing Section. There are three departmental branch libraries within the substantive departments of the UN which play a vital part in the research activities of the departments they serve. Although they are physically located in the departments, they are integral parts of the UN Library. They are the library of the Department of Economic and Social Affairs, the library of the Department of Trusteeship and Information from Non-Self-Governing Territories, and the library which serves the Legal Department and the Department of Political and Security Council Affairs.

The staff of the library is recruited internationally and an effort is made to balance the professional personnel among member countries, in conformance with secretariat policy. Principal qualifications sought are facility in languages, knowledge of English, familiarity with regional bibliography, good librarianship, freedom from prejudices, concept of UN ideals, and the ability to work with people of

varied races and nationalities.

The UN Library at headquarters has a collection of about 185,000 volumes, 45,000 maps, 2,750 reels of microfilms, and a fluctuating collection of fugitive materials. It has a staff of 85, representing over 20 member nations, with facilities in more than 30 languages. In accordance with the library policy adopted by the General Assembly in December, 1949, emphasis is on "service and immediate usefulness, not on accumulation and preservation." The principal subjects covered are general reference works (including authoritative dictionaries and encyclopedias in all languages), political science, law, trust and non-self-governing territories, economics, transport and communications, social problems, and geography. The greatest strength of the library is in its holdings of official publications of governments, of the UN and the UN specialized agencies (UNESCO, ILO, etc.), and of the League of Nations.

The library exists to serve the delegations and the secretariat, but it extends its services also to the specialized agencies, accredited representatives of mass mediums of communication and of affiliated nongovernmental organizations and, by special arrangement, to university and college teachers, Ph.D. candidates, and other scholars and research workers who require access to the full documentation of the UN, the specialized agencies, or the League of Nations.

Rubens Borba de Moraes of Brazil is the director of the UN Library. He was formerly director, UN Information Center in Paris; director, Biblioteca Municipal, São Paulo, Brazil; and director general, Biblioteca Nacional, Rio de Janeiro. He has written, edited, and translated bibliographical and historical works.

Inter-American Congress of Municipalities

The Vth Inter-American Congress of Municipalities met in San Juan, Puerto Rico, December 2-7, 1954. The basic papers on the four principal topics were presented by the Puerto Rican rapporteurs as follows: Ramón Torres Braschi, director, Office of Personnel, Insular Government, "Human Relations between the Municipal Government and Its Personnel"; Arturo Morales Carrión, assistant secretary of state, Insular Government, "Human Relations between the Municipal Government and Its Citizens"; Pedro Muñoz Amato, dean, Faculty of Social Sciences, University of Puerto Rico, "Good Municipal Administration as Stimulant for Greater Autonomy"; and Rafael Picó, president, Puerto Rican Planning Board, "Municipal Redevelopment."

Among the other papers presented were those by Anatole E. Solow, chief, Division of Housing and Planning, Pan American Union, and James W. Follin, director, Division of Slum Clearance and Urban Redevelopment, Housing and Home Finance Agency, both relating to the last topic. There was also a series of papers on each one of the topics, submitted

by the delegation from Uruguay.

Seventeen countries were represented by delegations in attendance and the Canadian members, who could not be present, sent a message. The largest delegations from outside Puerto Rico were those from the United States and Brazil. Over 60 U.S. and 40 Brazilian mayors, officials, and municipal experts attended. The Brazilian National Association of Municipalities recently held its IIIrd Congress, which over 3,000 people attended, and is rapidly becoming the largest and most vital municipal association in Latin America.

The city manager of the capital city of San Juan de Puerto Rico, Doña Felisa Rincón de Gautier, was elected president of the Inter-American Municipal Organization, and the mayor of Panama City (where the next congress will be held in February, 1956), Miguel A. Ordoñez, was elected vice-president. Carlos M. Morán was reelected secretary-general with headquarters in Havana.

IIAS Round Table, 1955

A round table of the International Institute of Administrative Sciences will be held in Oxford, England, July 10-16, 1955, with the Royal Institute of Public Administration as host. The institute's round tables are basically meetings of the standing committees of the institute, devoted not only to institute affairs but to scientific discussions. Topics already selected for next summer are "Common Elements in the Management of Business and Public Institutions" and "Increased Efficiency of State Economic Enterprises." A round table at The Hague in 1954 was attended by 139 officials and scholars from 39 countries and 7 interna-

tional organizations. Further information about the Oxford round table can be obtained from Herbert Emmerich, chairman, U.S. Section, IIAS, 1313 East 60th Street, Chicago 37, Illinois.

IPSA Congress, 1955

The International Political Science Association will hold its next Congress in Stockholm, Sweden, August 21-28, 1954. The themes of the discussions will be: government of great cities; small and large states in international organizations; bureaucracy and comparative government; role of party systems in democracy; role of public opinion polls in the study of political parties; relations between social classes and political parties; and political implications of development programs. The secretary-general of the congress is Nils Andren, dean, International Graduate School for English Speaking People at the University of Stockholm. Correspondence to the secretariat should be addressed to: IPSA Stockholm Congress 1955, Drottninggatan 120, Stockholm, Sweden.

PUBLIC ADMINISTRATION

John M. Pfiffner, University of Southern California; and R. Vance Presthus, Michigan State College

Adopted in more than 50 colleges and universities, this comprehensive Third Edition offers a realistic appraisal of public administration in America. Relates formal organization and the routines of public administration to informal organization and the functioning of administrators.

Accenting the human side of organization and management it sheds light on the nature of group action, individual motivation and leadership. Throughout, public administration is seen as part of a larger social process which includes legislatures, pressure groups, and the separation of powers.

626 pp.

FEDERAL ADMINISTRATIVE LAW

Rinchart John Swenson, New York University

Thorough study of the growth, nature, and control of administrative action in the United States. Emphasizing the various forms of administration and the means of their enforcement, the book analyzes the development of the administrative process and shows the need for formalizing administrative action into a coherent body of law supervised by special courts of limited jurisdiction. Consideration is given to the review of administrative action by the regular courts and the role of Congress in controlling administration.

JUDICIAL LEGISLATION

Fred V. Cahill, Jr., University of Massachusetts

A study in American legal theory which analyzes modern developments in jurisprudence and examines arguments for modifying the lawmaking function of judges, particularly in the light of significant decisions of the Supreme Court.

Discusses these decisions in terms of effect upon social legislation, and civil liberties. Presents a balanced survey of legal theory from Holmes to Frankfurter, illustrating the increasing shift from rigid, literal interpretations to a flexible, realistic application of the law.

The Ronald Press Company 15 E. 26th St., New York 10, N. Y.

The Inter-University Case Program

in cooperation with The University of Alabama Press

ANNOUNCES

an *Individual Subscription* to its series of case studies in Public Administration and Policy Formation. Subscribers will receive one copy of each case published during the period of their subscriptions. The annual cost of the subscription is \$3.50. Orders should be addressed to the University of Alabama Press, University, Alabama.

The Inter-University Case Program was organized to stimulate the use and writing of case studies as aids to the teaching and practice of public administration and policy formation. By encouraging the writing and distribution of case studies on decision making by administrators at various levels of government, the Inter-University Case Program aims

- to enlarge the existing basis for realistic generalizations about administrative organization and behavior
- to explore the manner in which the insights developed by the various social sciences and disciplines can be marshalled in administrative policy making
- to make generally available a body of varied case materials useful for teaching purposes, for scholarly inquiry, and for analysis by practitioners in the field of public administration
- to secure widespread acceptance of the case study technique as a scholarly tool of research and reporting for use in theses, dissertations, and learned articles.

Forty-six case studies have already been published, and can be ordered separately from the University of Alabama Press. Published titles include:

- The Foreign Service Act of 1946, by Harold Stein
- · The Kings River Project, by Arthur Maass
- The Cambridge City Manager, by Frank Abbott
- · The Transfer of the Children's Bureau, by E. Drexel Godfrey
- The Battle of Blue Earth County, by Paul Ylvisaker
- The Van Waters Case, by Thomas Eliot

Cases in process include:

- The Army Flies the Mails, by Paul Tillett
- · Bowaters Plant Location in the Tennessee Valley, by Roscoe Martin
- International Brotherhood of Electrical Workers Local 35 v. Connecticut Commission on Civil Rights, by Francis Rourke
- Arkansas-White-Red Upstream-Downstream Flood Control Controversy, by Irving Fox and Isobel Picken
- · Reorganization of Philadelphia General Hospital, by Mariana Robinson
- · Civil Defense of Trafford Park (England), by J. W. Grove

Address Inquiries and Proposals to

THE INTER-UNIVERSITY CASE PROGRAM

45 East 65th Street

New York City 21

Address Orders to

THE UNIVERSITY OF ALABAMA PRESS

Drawer 2877

University, Alabama

TIN THE PUBLIC SERVICE MANAG

The By JOHN licked Scient TT, Paulient, Minut University, McGentr-Hill Series in Po-

ignomatic critique of the role of stangagement from the point official at all levels, with emphasis on public or governing attention is focused on the common aspects of management be performed regardles of the peculiar patture of the management. It features new definitions of public administration concludes with a chapter setting forth a scale of values governmental attention in the public service of our democracy which late discussion in this virylly important area. of view of the or mental aspects, mental aspects, mental aspects, and management and management of the control of the control

IDEAS and INCUES in PUBLIC ADMINISTRATION

A Book of Beadings

Edited by PWEET WALDO, University of Criteria, Earlies. McGow-Hill Series in Public laters. 45 pages, \$5.50

Designed primary for applementary reading in an introductory storage on public administration, the mon includes material on a many standard subjects as space will permit. The treatment follows a largethier, more detailed exploration of major trends, theories, and controversion, and powers representative differences in points of view on these angles to capture the invent and spirit of the su those.

GOVERNMENT'S ROLE IN ECONOMIC LIFE

by GEORGE A. STEWER, University of Diness. 431 pages, 25/10

A comprehensive per interpreted work, this book treased the shifting role of government in economic at its develops a method of unalysis trabiling a concentration upon the relevant larger which produce public economic policie, and relevant consequences of partialog a given course of accord.

PRINCIPLES OF MANAGEMENT

Dy RAROLD B. HOCHTZ and CYRIL J. O'DONNELL, University of California on Los Angeles (19) pers. \$6.50

Provides a consequent framework within which the principles and techniques of management can be analyzed and explained, and systematically encouragement book covers the first functions of management of the theory of management of the theory of management of the planting, and controlling the activities in which every manager at any organizational level in any type of a marvor engages.

Send for explos on expressi

McChan Hill BOOK COMPANY, INC.

York 36, N. Y.

